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CARAD User Manual

for Customers of Clearstream Banking AG, Frankfurt

CARAD User Manual

Clearstream Banking AG, Frankfurt

Document number: F-CMG22

November 2011

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Foreword

Introduction - The physical vault – Custody/management

This chapter provides a brief overview of the physical vault of Clearstream Banking AG, Frankfurt (CBF). Functional aspects relating to the purpose of the vault and custody practices will be explained herein.

Clearstream Banking AG in its role as the central depository

One of the responsibilities of CBF is its function as a custodian for domestic securities in the sense of the German Securities Deposit Act and the completion of all tasks related to this function.

Custodians for domestic securities are central depositories for the securities deposited and/or approved by their account holders. Collective safe custody (CSC) only entitles the depositor to a certain share of all collective positions of the central depository in a security (co-ownership share). The certificates are held separately in the vault according to their respective security. As a result, the customer is entitled to a portion of the collective safe custody account. He is not the owner of specific certificates, but only a certain number of arbitrary certificates in a security. This type of custody is therefore referred to as collective safe custody.

CBF is a central depository meaning it holds all German securities for account holders in its security account, which are in collective safe custody as well as foreign securities, which are eligible in Germany and capable of being held in collective safe custody.

Securities, which can be physically (individual certificates, technical global certificates) or permanently securitised in global certificates, are either split into corpus and coupon sheet centrally in the CBF vaults depending on the security and deposit type, or held exclusively as certificates (if certificates without coupon sheets are permitted) or as single sheets (corpus and coupon sheet are firmly linked). Transactions with these securities are settled via CBF.

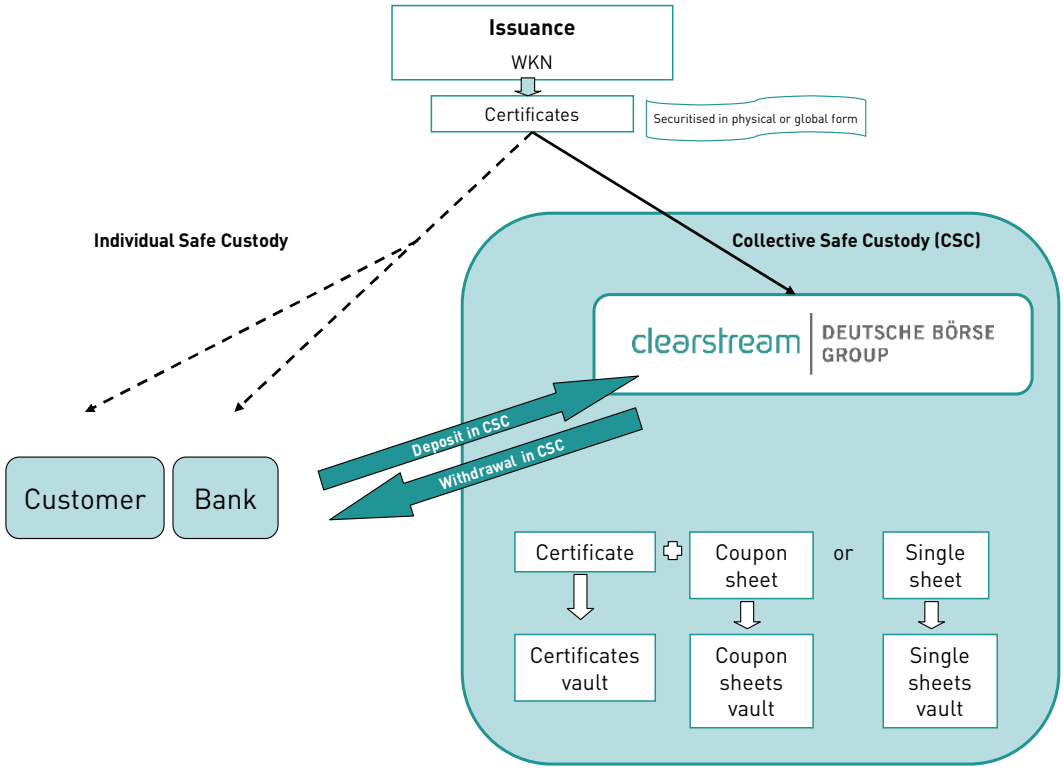

Figure: Clearstream Banking AG as a central depository

The individual certificates in the respective vaults are held either in block package or working stock.

The working stock includes all unpackaged certificates, which are available for small-scale intra-day securities movements. The FIFO principle applies to movements. Global certificates (technical, interim, permanent global certificates and global certificates (up-to)) are generally held in the working stock as they cannot be used for forming blocks.

If the physical working stock for a security reaches a corresponding number, the corpus and coupon sheet are consolidated into blocks (500 or 1000 certificates are consolidated into 100 certificates each). On the other hand, blocks are dissolved in order to replenish excessively low working stock. If corresponding contracts with the issuers exist, positions that have not been moved are sealed in blocks. No detachment of coupons occurs and the blocks are therefore considered ice block package stock.

CBF offers special safe custody of buffer deposit positions as an additional service. They are fund shares that have not been issued and which are held separately. If corporate actions affecting the collective safe custody positions occur (for example, coupon detachment with income payment), they are performed manually on the buffer deposit positions and the service is billed.

The option of keeping securities in individual safe custody with CBF as a depository has been offered as a new service since 18 November 2002. These securities are held in CARAD under the deposit type “20-Lagerstelle” (depository).

The instruction for the deposit/withdrawal of certificates in collective safe custody to CBF can be performed either via CASCADE terminal or via LIMA/SWIFT file transfer. Functionality is identical for both options.

As part of the Vaults Insourcing project, banks have had the option of outsourcing their vaults to CBF since November 2005. CBF holds their vault positions separate from CBF vaults as individual custody positions. The new service portfolio ranges from a basic "cellar function" to an all inclusive service including the settlement of corporate actions and coupon depository function. The insourcing-specific functions are described in a separate manual that is provided exclusively to insourcing customers.

As of 18 December 2006, customers of CBF also have the option of requesting certificate number indexes for their positions in CBF custody online, which are then generated overnight in batch processing and made available for download on a protected page on the website of Deutsche Börse AG.

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1. General section

1.1 Vaults

1.1.1 CARAD

Manual processing of securities transactions (deposits and withdrawals) and updating of the physical deposit journal and the number ledger as part of the book-entry system of Clearstream Banking AG, Frankfurt (CBF) were converted as part of project CARAD (Central Application for Registration and Administration of Securities Document Numbers) to a contemporary computer-supported processing form.

Manual processing of vault management and the closely associated deposit and withdrawal order types were changed to an efficient and even more secure organisational form. The product meets the following needs:

- Separate automatic vault positions management for collective safe custody block package and working stock;
- Vault reserve maintenance for collective safe custody (CSC) buffer storage for fund units not issued.

In addition to the points above, the services include

- One-time entry of certificate numbers and/or automatic forwarding of the certificate numbers from electronic deposits;
- Online stop order check and stop order identification when checking the deposited positions in daily batch processing;
- Check for duplicate certificate numbers in the various databases;
- Lack and replacement certificate identification.

The individual certificates in the respective vaults are held either in block package or working stock.

The working stock includes all unpackaged certificates, which are available for small-scale daily securities movements. The FIFO principle applies to movements. Global certificates (technical, interim, permanent global certificates and scripts) are generally held in the working stock as they cannot be used for forming blocs.

If the physical working stock for a security reaches a corresponding number, the corpus and coupon sheet are consolidated into blocs (500 or 1000 certificates are consolidated into 100 certificates each). On the other hand, blocs are dissolved in order to replenish excessively low working stock. If corresponding contracts with the issuers exist, positions that have not been moved are sealed in blocs. No detachment of coupons occurs and the blocs are therefore considered ice block package stock.

1.1.2 Display of the WKN

The screen masks and list layouts were adjusted accordingly as part of the introduction of the ISIN on 1 January 2003. The ISIN is shown on the screen masks. The usual identification numbers may be entered. The term WKN is understood as a securities identification number irrespective of the form in which it is displayed (for example, ISIN, in German WKN etc.). Entry options are as follows:

Field on the screen	Meaning	Formal correct	Input	Explanation	
WP-KENNUNG	Security identification	1-character alphanumerical	preset to "I"	Entry options:	
				B	Stock exchange code
				C	CUSIP NUMBER
				F	CEDEL EURO NUMBER
				I	ISIN
				W	Alphanumerical WKN
WKN	Security identification number	see explanation	required	The identification number corresponding to the WP-KENNUNG must be entered.	

1.2 The security system

The introduction of the database software "IMS", which also serves as the basis for CARAD, includes the installation of a security system that offers extensive protection for IMS online applications from abuse.

A security database (user database), in which users are saved with their unique user ID, password and transaction rights, is required for the installation of the security system. The customer security officer assigns employees their respective transaction rights.

Two security officers must be appointed in each bank whose areas of responsibility are defined as follows:

- The security officer in charge of maintenance
  Tasks: Maintenance of authorisation data in the security database, that is, function code rights can be entered, edited, deleted and displayed.
- The security officer in charge of release
  Tasks: Control and release of application rights assigned by the customer security officer.

The structure of the employee security data form, which you received from your security officer is explained below. In this respect you will be notified of the CARAD transactions and functions (or other IMS applications of DBS), for which you have been granted access rights.

The user ID, last name and first name and initial entry password for the authorised person is specified at the top of the form. When the user logs onto the Deutsche Börse Systems (DBS) for the first time, this password is changed to an individual password using the online password change service. The status "initial entry", "edit" or "delete" is listed.

Three transaction codes may be assigned at the bottom of the form. Additional forms must be completed for additional transaction codes. A total of 100 positions are available for each transaction code:

- Position 1-4: 4-digit transaction code
- Position 9-10: here it can be stated whether the employee is approved for a function code ("=" → positive management) or not ("/=" and/or "=/" → negative management)
- Position 11-12: blank
- Position 13: Specification of the vault (CBF internal only)
- Position 14-100: Specification of the 2-digit function codes for a transaction code which must be separated from one another by a space.

Examples:

The following function codes exist for the transaction code "KCKI": "IH" and "IS".

The employee should receive the access authorisation for the function codes "IH", "IS" with respect to the transaction code "KCKI":

						1										2									
1	2	3	4		9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9
K	C	K	I		=					I	H		I	S											

The employee receives access authorisation for all function codes with the exception of "IS" for the transaction code "KCKI".

						1										2									
1	2	3	4		9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9
K	C	K	I		/	=				I	S															

The employee is granted access authorisation for all function codes with respect to the transaction code "KCKI".

						1										2									
1	2	3	4		9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9
K	C	K	I																						

1.3 Logging on and off the online system

1.3.1 Log on

Procedure for accessing CARAD

- Switch on the device

→ A welcome screen of the Deutsche Börse Systems is displayed:

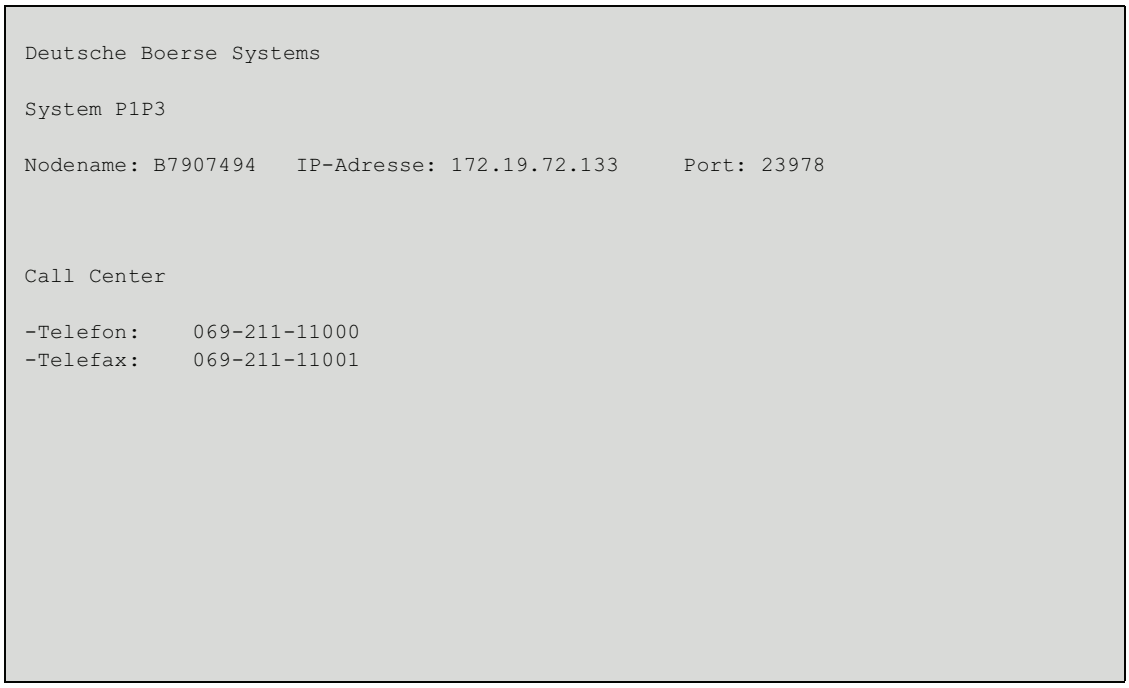

Figure 1.1: Welcome screen of the Deutsche Börse Systems

- Enter IMS1 and press the Enter key.

→ The initial menu for applications of the Deutsche Börse Group will then be superimposed:

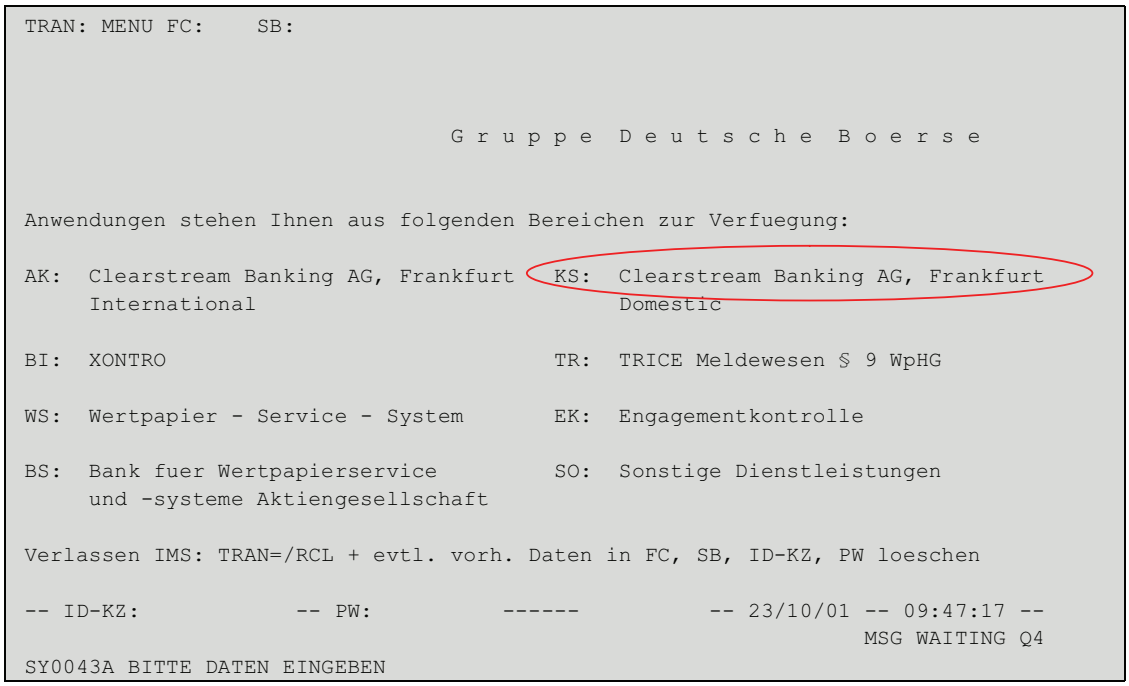
TRAN: MENU FC: SB:
G r u p p e D e u t s c h e B o e r s e
Anwendungen stehen Ihnen aus folgenden Bereichen zur Verfuegung:
AK: Clearstream Banking AG, Frankfurt International
KS: Clearstream Banking AG, Frankfurt Domestic
BI: XONTRO
TR: TRICE Meldewesen § 9 WpHG
WS: Wertpapier - Service - System
EK: Engagementkontrolle
BS: Bank fuer Wertpapierservice und -systeme Aktiengesellschaft
SO: Sonstige Dienstleistungen
Verlassen IMS: TRAN=/RCL + evtl. vorh. Daten in FC, SB, ID-KZ, PW loeschen
-- ID-KZ: -- PW: ------ -- 23/10/01 -- 09:47:17 --
MSG WAITING Q4
SY0043A BITTE DATEN EINGEBEN

Figure 1.2: : Initial menu for applications of the Deutsche Börse Group

- The abbreviation "KS" for applications of Clearstream Banking AG, Frankfurt is entered in the first line of the field "FC" (function code: further selection for the selected transaction).
- Enter the user ID (10 digit, numerical, user ID) and password in the penultimate line.
- Press the ENTER key.

→ The selection menu for Clearstream applications appears:

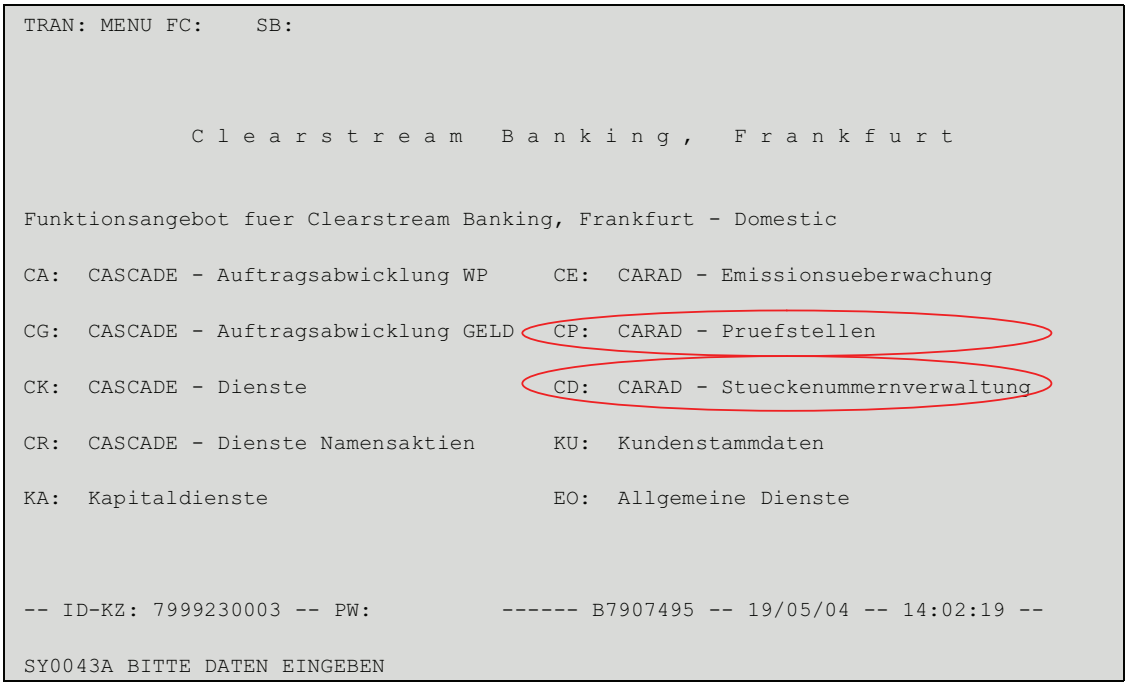
TRAN: MENU FC: SB:
C l e a r s t r e a m B a n k i n g , F r a n k f u r t
Funktionsangebot fuer Clearstream Banking, Frankfurt - Domestic
CA: CASCADE - Auftragsabwicklung WP
CE: CARAD - Emissionsueberwachung
CG: CASCADE - Auftragsabwicklung GELD
CP: CARAD - Pruefstellen
CK: CASCADE - Dienste
CD: CARAD - Stueckenummernverwaltung
CR: CASCADE - Dienste Namensaktien
KU: Kundenstammdaten
KA: Kapitaldienste
EO: Allgemeine Dienste
-- ID-KZ: 7999230003 -- PW:
------ B7907495 -- 19/05/04 -- 14:02:19 --
SY0043A BITTE DATEN EINGEBEN

Figure 1.3: Selection menu of Clearstream Banking AG, Frankfurt

- From here you can access the different CBF functions of CARAD such as CARAD certificate number management, CARAD issue supervision or CARAD checkpoints. You can also access the CBF corporate actions from here. Accessing the CARAD checkpoints and CARAD certificate number management is possible for CBF customers. All other functions are blocked.
- Enter "CP" or "CD" for CARAD in the field "FC" on the first line.
- Data entry (ENTER)

The CARAD main menus will appear:

Order history

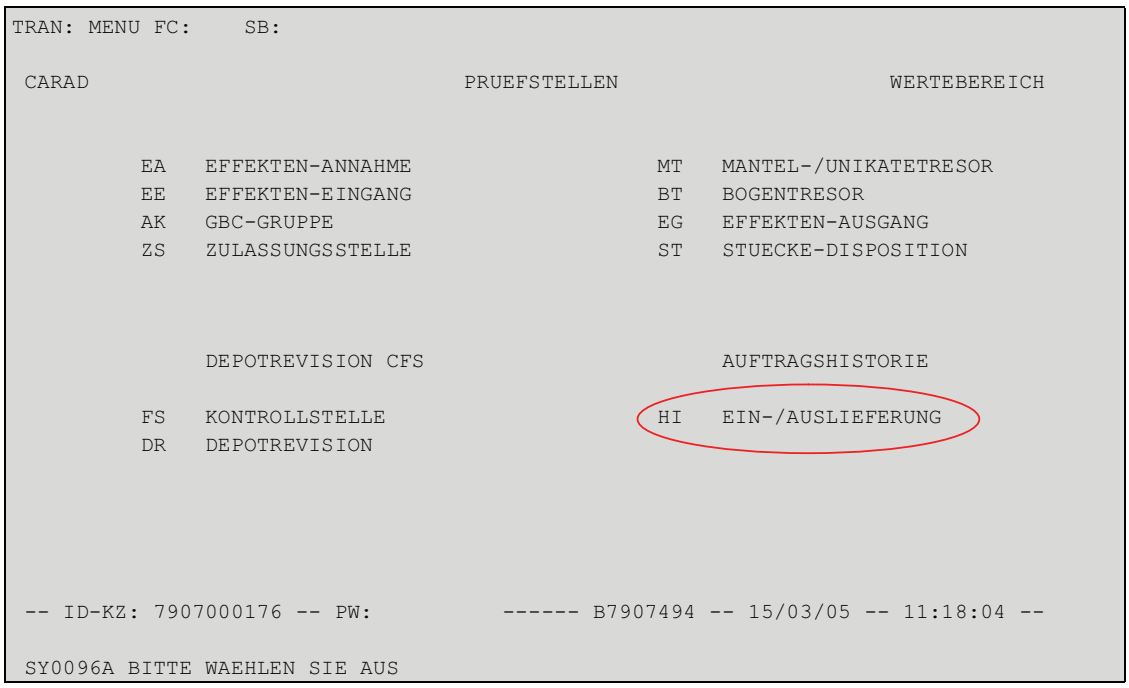

Figure 1.4: CARAD main selection menu - checkpoints

Customers of CBF can now enter the function code "HI" in order to access the order history. All other function codes are only accessible for select CBF employees and are blocked for customers.

Certificate number management

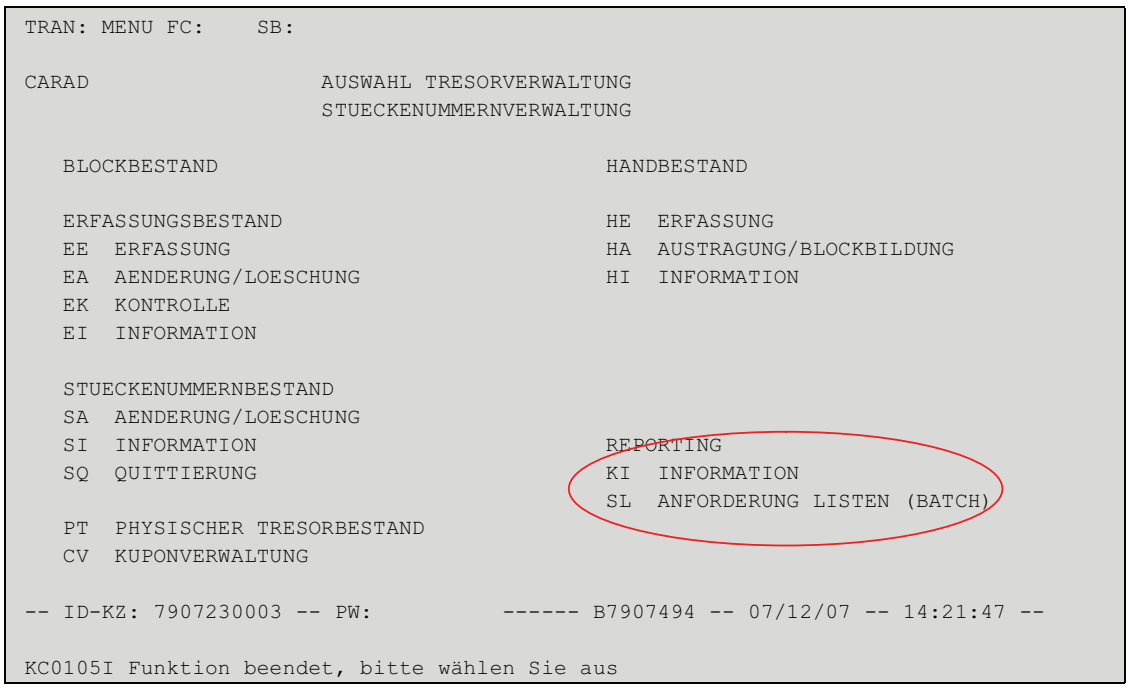

Figure 1.5: CARAD main menu - Certificate number management

Customers of CBF can now enter the function code "HI" Enter "KI" to access the customer certificate positions or "SL" to request a list. All other function codes are only accessible for select CBF employees and are blocked for customers.

1.3.2 Log off

To log off the application follow the steps below:

- Return from the CARAD main menu to the DBS start menu by pushing the PF11 key, which deletes the user ID and password.
- The DBS start menu will appear.
- Overwrite the transaction code “MENU” (see the field TRAN:) with “/RCL” in the DBS start menu; the user ID and password must be deleted.
- Press enter.

→ Once you have successfully logged off the system the Deutsche Börse Systems welcome screen will appear.

A notice confirming the log off of the online system IMS is always provided on line 20 of the start menu of Deutsche Börse Systems.

1.4 Key setting

Key	Description
Enter	(1)Selection menu masks: Checking of entries; if the entries are correct, there is a branch to the next level. (2)Entry screen: Checking of entries. (3)Tabular display template: →Checking of entries →If KZ = "I" is entered, pressing enter will then return a full view of information for the block marked
Tabulator key	Move to the next/last field that can be edited
PF1	Help screen
PF2	Online print (not available everywhere) and/or print documents online
PF3	Processes data entered (Enter) and/or in the information to return to the next screen up.
PF4	PF4 aborts a dialogue without processing. The respective menu then appears.
PF5	• Only for tabular readouts if the database search had to be aborted due to a timeout; • PF5 therefore resumes the search for blocs and/or orders in the database.
PF6	Not assigned
PF7	• Moves back to the previous screen within a transaction. (save operation occurs in some cases) • The requirement is that subsequent screens exist within one screen type. • As a result PF7 only works after PF8 has been pressed to browse forward.
PF8	• Enables browsing to the next screen within a transaction (see PF7 for prerequisites).
PF10	Not assigned
PF11	• As with PF4, the dialogue is aborted without processing; • also logs off of the CARAD system and returns to the Deutsche Börse Systems start menu.
PF12	Not assigned

1.5 Contact vaults

1.5.1 Clearstream settlement/technical questions

1.5.1.1 Functional questions

Frank Kliemt	Senior Manager Vaults/Physical Deliveries	(0 69) 211 - 159 89
Thomas Weber	Head of Vaults Shares and Bonds	(0 69) 211 - 154 02
Manfred Lebeau	Vaults Shares and Bonds	(0 69) 211 - 147 11
Detlef Peter	Head of Vault Coupon-Sheets	(0 69) 211 - 148 15
Gerald Berge	Vault Coupon-Sheets	(0 69) 211 - 158 62
André Weißenseel	Certificates Number Ledger	(0 69) 211 - 152 55
Hans-Joachim Michel	Securities Withdrawal	(0 69) 211 - 156 23
Michael Brückel	Product Developement	(0 69) 211 - 148 25
Achim Schmidt	Product Developement	(0 69) 211 - 159 61

1.5.1.2 Technical questions

Customer Service (0 69) 211 - 111 77

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2. Certificate positions KCKI

The "KCKI CARAD Kundeninformation" (KCKI CARAD customer information) transaction is located on the initial screen "Clearstream Banking AG Frankfurt Domestic" under "CD CARAD - Stückenummernverwaltung" (Certificate number management). Internal CBF functions are blocked for customers.

```
TRAN: MENU FC:    SB:

 CARAD                  AUSWAHL TRESORVERWALTUNG
                        STUECKENUMMERNVERWALTUNG

    BLOCKBESTAND                              HANDBESTAND

    ERFASSUNGSBESTAND                         HE  ERFASSUNG
    EE  ERFASSUNG                             HA  AUSTRAGUNG/BLOCKBILDUNG
    EA  AENDERUNG/LOESCHUNG                   HI  INFORMATION
    EK  KONTROLLE
    EI  INFORMATION

    STUECKENUMMERNBESTAND
    SA  AENDERUNG/LOESCHUNG
    SI  INFORMATION                           REPORTING
    SQ  QUITTIERUNG                           KI  INFORMATION
                                              SL  ANFORDERUNG LISTEN (BATCH)
    PT  PHYSISCHER TRESORBESTAND
    CV  KUPONVERWALTUNG

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 07/12/07 -- 14:00:37 --

 KC0105I Funktion beendet, bitte wählen Sie aus
```

Figure 2.1: CARAD Certificate number management menu screen

By entering the function code "KI", the customer accesses the menu screen "Information Urkundenbestand" (Certificate positions information). All other functions are blocked for CBF customers.

The customer is able to view information on his positions saved in CARAD. The transaction KCKI was created for this.

```
TRAN: KCKI FC:    SB: I######

CARAD             I N F O R M A T I O N   U R K U N D E N B E S T A N D

   IH  INFORMATION URKUNDEN            IS  INFORMATION STUECKENUMMERNSUCHE




   WKN             : I ____________
   HINTERLEGUNGSART: __

   STUECKELUNG     : __ ____________________
   STUECKENUMMERN  : ______________________________

   SAMMELURKUNDE   : _ (J/N)
   ORD-/SAMMEL-NR  : ______ / ______

   BANK            : ____
   KUNDENREFERENZ  : _ ___ - _____________ ___ - _____________

-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 16/01/06 -- 09:01:55 --
KC0113F Feld muss einen der angezeigten Auswahlcodes enthalten
PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch
```

Figure 2.2: Information certificate positions menu screen

Only banks and authorised Clearstream users are authorised for this transaction.

Data from the working stock, block package stock, ice block package stock and global certificates are displayed for the function "KCKI IH". The function "IS - Stückenummernsuche" (certificate number search) calculates the data from the working, block package stock and from deposit/withdrawal positions (recording and order balance). The data is only displayed if the user has access authorisation to the data.

The following entry options exist:

a) WKN

The WKN must be entered. The format of the WKN can be determined via the securities identifier "WP-Kennung". The securities identification is preset to I.
If only the WKN is entered, then securities from the CBF vault are displayed providing the user is authorised to access this data.

Securities identification	Meaning
B	Stock exchange code
C	CUSIP number
F	CEDEL EURO number
I	ISIN
W	Alphanumerical WKN

b) HINTERLEGUNGSART (DEPOSIT TYPE)

The selection of the data for display can be restricted with the deposit type. In the future, the "Bank" field must be specified for the deposit types, which are documented on the customer level/third-party bank (vaults segment 2 and 3). With a data request, data can only be accessed by CBF for each customer level/third-party bank. A comprehensive query concerning the deposit type is not possible.

c) STÜCKELUNG (DENOMINATION)
The selection can be restricted by entries in the two fields. If a literal value is entered in the field, then a denomination and the GLOBALURKUNDE (J/N) (GLOBAL CERTIFICATE (Y/N)) field must also be completed. Entering the character "/" only displays denominations without a literal. If the literal is entered with a space, then denominations with and without a literal are displayed.

d) STÜCKENUMMERN (CERTIFICATE NUMBER)
Entries in this field are only necessary for the certificate number search function.

e) GLOBALURKUNDE (J/N) (GLOBAL CERTIFICATE (Y/N))
If the field is completed with N(o), only individual certificates are displayed, if Y(es) is entered, then only global certificates are displayed.
If a certain denomination must be entered, then an entry must be made in this field.
If an organisation number or collective number is entered, then Y(es) must be entered in this field.

f) ORDN-/SAMMEL-NR. (ORG/COLLECTIVE NUMBER)
Entering an organisation or collective number leads directly to the full view of the certificate. The two numbers must identify the same certificate. The user must of course be authorised to access this certificate.
If the bank number and customer reference is also entered for certificates in FTB, the input values must correspond to the values on the certificate. However, if the certificate is in the CBF positions, then the BANK and CUSTOMER REFERENCE fields may not be completed.

g) BANK
If the bank number is entered, then the user must be either a CBF user or a FTB owner. If the bank number is entered without a customer reference, the positions in safe custody are also displayed in addition to all FTB positions.

h) KUNDENREFERENZ (CUSTOMER REFERENCE)
If the customer reference is entered, then the bank number must be entered. If an organisation or collective number is also entered, then the certificate must have the collective and/or organisation number entered under this customer reference and bank number.
This leads directly to the full view.

2.1 Authorisation checks

For information, only the certificates in the vault segments

- 2 = safe custody and
- 3 = third party vault positions

are displayed, which belong to the positions of the CBF customer entered in the "BANK" field.

If the co-issuing bank issues queries in this respect, only certificate positions are displayed which are not held in vault segments 2 and 3.

2.2 Information on certificates KCKI IH

2.2.1 General description

The following field is a required field on the selection screen:

- WKN

Selections can be made with the following fields:

- STUECKELUNG (DENOMINATION) (only for individual certificates) with and without literals
- HINTERLEGUNGSART (DEPOSIT TYPE)
- SAMMELURKUNDE (J/N) (GLOBAL CERTIFICATE)
- ORDN-NR. (ORGANISATION NUMBER)
- SAMMEL-NR (COLLECTIVE NUMBER)

The ORDN-NR. (ORGANISATION NUMBER) contains the internal organisation number of the issuer entered on the global certificate (technical global certificate, scrip, interim global certificate or permanent global certificate).

The system assigns a current SAMMEL-NR (COLLECTIVE NUMBER) to all global certificates which is unique within an WKN. Collective numbers that become free as a result of a removal are initially not reassigned.

```
TRAN: KCKI FC:     SB: I######

CARAD              I N F O R M A T I O N   U R K U N D E N B E S T A N D

  IH  INFORMATION URKUNDEN            IS  INFORMATION STUECKENUMMERNSUCHE



   WKN              : I ____________
   HINTERLEGUNGSART: __

   STUECKELUNG      : __ ____________________
   STUECKENUMMERN   : ______________________________

   SAMMELURKUNDE    : _ (J/N)
   ORD-/SAMMEL-NR   : ______ / ______

   BANK             :
   KUNDENREFERENZ   : _ ___ - _______________ ___ - _______________

-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 16/01/06 -- 09:01:55 --
KC0113F Feld muss einen der angezeigten Auswahlcodes enthalten
PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch
```

Figure 2.1: Certificate positions information menu screen

2.2.2 Basis of data for screens

Screens for global certificates are displayed based on current positions. Deposit/withdrawal orders which have been booked but which have not yet undergone final processing at CBF are taken into account.

The screens with respect to individual certificates have the status from the previous evening after all changes to positions. Nominals and certificate numbers from booked orders, which have not yet been

received from the previous day, are not in the readout. Nominals and certificate numbers which have not yet been assigned to withdrawal orders that have undergone final processing are no longer displayed.

The database for these readouts may result in temporary discrepancies in the nominals versus the CASCADE account balance. They can be inspected in detail by viewing the order history under the transaction KPHI.

2.2.3 Presentation of the screen sequence

The following graphical structure results:

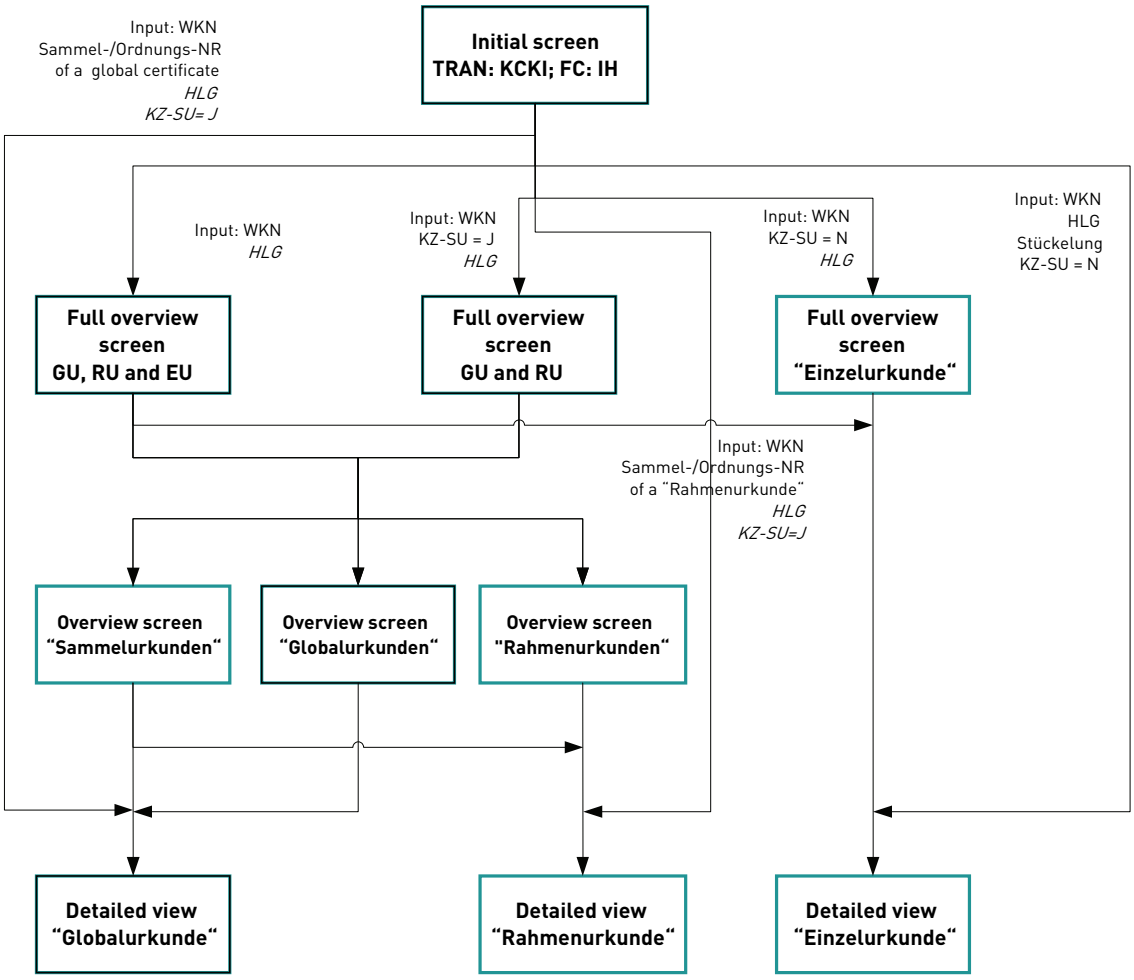

Figure 2.2: KCKI screen sequence

If not specified, selecting "I" and pressing enter accesses the next screen hierarchy down.

If one screen page is insufficient for displaying the data then the readout is continued on the following pages. PF8 is used to browse to the next pages. Pressing PF7 goes back one page.

Pushing PF3 skips back to the last screen level, PF4 aborts the transaction and returns to the initial screen.

Option entries appear in italics on the menu.

The following screens exist in the KCKI customer information:

1. **Initial screen**
   Only entry of the security is required. Different overviews are provided on the following screen if the selection is qualified further. If the selection is fully qualified, then a full view (detailed view at the certificate number level) results.
2. **The full overview screen "Information Gesamtbestand“ (information all positions)**
   All positions for a security are displayed in tabular format in this screen. The readout is divided into global certificates and individual certificates. The individual positions are cumulated, subtotals are calculated for each deposit type. An overall total is provided.
   Depending on the selection, only global certificates or individual certificates are shown on the overview.
3. **Overview screen "Sammelurkunden“ (global certificate)**
   All global certificates are sorted and displayed according to the deposit type and collective number.
4. **Overview screen “Globalurkunde“ (permanent global certificates)**
   Fields are shown, which relate to global certificates: "deposit type", "organisation number", "collective number", "collective nominal" and an identifier as to whether the certificate numbers are securitised in the certificate.
5. **Overview screen “Rahmenurkunden“ (global certificate (up-to))**
   The screen is similar to the overview “Globalurkunde“(permanent global certificates). The "dispositive nominal", "pending nominal" and "up-to nominal" fields are also displayed on the screen.
6. **Detailed view “Rahmenurkunden“ (global certificate (up-to))**
   Fields relevant for global certificates (up-to) are displayed. The "dispositive nominal" and "up-to nominal" fields are also displayed on the screen.
7. **Detailed view “Globalurkunde“ (permanent global certificates)**
   This screen is similar to the full view "Globalurkunde“(permanent global certificates)".
8. **Detailed view “Einzelurkunde” (individual certificate)**
   The certificate numbers from the working, block package and ice block package stock are displayed in arithmetical order on this screen.

The following table describes how to access the screens from the initial screen:

Screen	Contents	Accessible via
Gesamtübersicht (GU, RU und EU) (Total overview GU, RU and EU)	Tabular display of all positions	Initial screen: Entry WKN
Gesamtübersicht Sammelurkunden (GU und RU) (Total overview global certificates (GU and RU))	Tabular view of the global certificates sorted according to the deposit type	Initial screen: Entry WKN, KZ-SU = J
Gesamtübersicht Einzelurkunden (Total overview individual certificates)	Tabular display of the individual certificates sorted according to the deposit type, literal and denomination	Initial screen: Entry WKN, KZ-SU = N
Übersicht Sammelurkunden (Overview global certificates)	Tabular view of the global certificates sorted according to the deposit type and collective number	• Complete overview (GU, RU and EU): Selection of the total line GU and RU • Complete overview (GU and RU): Selection of the total line GU and RU
Übersicht Globalurkunden (Overview permanent global certificates)	Tabular view of the global certificates sorted according to the deposit type and collective number	• Complete overview (GU, RU and EU): Selection of the total line of the permanent global certificates • Complete overview (GU and RU): Selection of the total line of the permanent global certificates
Übersicht Rahmenurkunden (Overview global certificates (up-to))	Tabular view of the global certificates (up-to) sorted according to the deposit type and collective number	• Complete overview (GU, RU and EU): Selection of the total line of the global certificates (up-to) • Complete overview (GU and RU): Selection of the total line of the global certificates (up-to)
Detailanzeige Global- oder Rahmenurkunde (Detailed view permanent global or global certificate (up-to))	Detailed display of permanent global or global certificate (up-to)	• Initial screen: Full specifications for the permanent global or global certificate (up-to) including WKN and collective or organisation number • Overview global certificate: Selection of a permanent global certificate/ global certificate (up-to) • Overview permanent global certificate or global certificate (up-to): Selection of a permanent global certificate/ global certificate (up-to)
Detailanzeige Einzelurkunden (Detailed view individual certificates)	Detailed view of the certificate numbers for a deposit type, literal and denomination	• Initial screen: Entry WKN, deposit type, literal, denomination and KZ Sammelurkunde = N • Complete overview: Selection of a deposit type, literal and denomination for an for an individual certificate • Complete view individual certificate: Selection of a deposit type, literal and denomination
Stückenummern-suche (certificate number search)	Certificate number information	Initial screen: KCKI/IS transaction with entries WKN, literal, denomination, certificate number

A selection is made by entering "I" and pressing enter.

2.2.4 Description of the screens

2.2.4.1 Initial screen of the transaction KCKI customer information

The WKN is a required field.

```
TRAN: KCKI FC: IH SB: I######

CARAD            I N F O R M A T I O N   U R K U N D E N B E S T A N D

   IH  INFORMATION URKUNDEN            IS  INFORMATION STUECKENUMMERNSUCHE




   WKN             : I ____________
   HINTERLEGUNGSART: __

   STUECKELUNG     : __ ____________________
   STUECKENUMMERN  : ______________________________

   SAMMELURKUNDE   : _ (J/N)
   ORD-/SAMMEL-NR  : ______ / ______

   BANK            : ____
   KUNDENREFERENZ  : _ ___ - _______________ ___ - _______________

-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 16/01/06 -- 09:16:42 --
KC0003F Bitte hell angezeigtes, leeres Feld ergänzen
PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch
```

Figure 2.1: KCKI Initial screen

Only valid and/or logical input options are listed on the table.

WKN	Deposit type	Literal	Denomination	KZ-SU	Collective/ Org Number	Screen
Input	-	-	-	-	-	Complete overview (GU, RU and EU)
Input	Input	-	-	-	-	Complete overview for a deposit type
Input	-	-	-	Yes	-	Complete overview permanent global and global certificates (up-to)
Input	-	-	-	No	-	Complete overview individual certificates
Input	Input	-	-	Yes	-	Complete overview permanent global and global certificates (up-to) for a deposit type
Input	Input	-	-	No	-	Complete overview individual certificates for a deposit type
Input	Input	-	Input	No	-	Complete overview individual certificates for a deposit type for a denomination (with/without literal)
Input	-	-	Input	No	-	Complete overview individual certificates for a denomination (with/ without literal)
Input	-	Literal	Input	No	-	Complete overview individual certificates for the literal/ denomination
Input	-	Input ="/"	Input	No	-	Complete overview individual certificates without literal for the denomination
Input	-	-	-	-	Input	Complete view GU or RU including the collective or organisation number entered
Input	Input	Input ="/"	Input	No	-	Complete view individual certificates without literal for the denomination
Input	Input	Literal	Input	No	-	Complete view individual certificates for a literal/denomination

The following points are important to understand this table:

- Input means the entry of a valid value.
- Combinations other than those listed in the table are pointless and/or not allowed.
- A literal can only be entered in combination with a denomination.
- If no literal is specified then all literals for a denomination are displayed. The character "/" must be entered in the literal selection field in order to select positions without a literal.
- The entry of a certificate number is only required for the certificate number search KCKI/IS.

A help screen with the possible deposit types can be accessed by pressing the PF1 key.

```
 TRAN: KCKI FC:    SB: I######


CARAD             I N F O R M A T I O N   U R K U N D E N B E S T A N D

Eingabemöglichkeiten

WP-Kennung                        Hinterlegungsart

B - Börsenkürzel                  01 - Girosammelverwahrung (GS)
C - CUSIP-Nummer                  03 - GS Vorratslager Bank
F - CEDEL-EURO-Nummer             10 - Haussammelverwahrung
I - ISIN                          20 - Sonderverwahrung
W - Alphanummerische WKN          22 - Treuhand CBF
                                  30 - Fremdtresor
                                  40 - Edelmetall
                                  92 - Dokumentenverwaltung




-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 15/06/10 -- 09:03:33 --

PF3:Rücksprung PF4:Abbruch
```

Figure 2.2: Certificate positions information help screen

2.2.4.2 Definitions

Field	Term	Explanation
NOM-SAMMEL	Global certificate nominal	The NOM-SAMMEL indicates the nominals securitised by a global certificate. This is displayed without decimal places if the content is "zero". • For global certificates (up-to): The valuated part of the Rahmen-Nominale for a global certificate (up-to) is entered in this field. The Rahmen-Nominale may not be exceeded in the process. • For all other global certificates: The nominal value which is recorded on the global certificate is entered in this field. The global certificate nominal of certificates documented in CARAD is increased following successful transfer to CARAD in order to update certificates as the result of a mark up with automatic booking release, a mark up without automatic booking release and new admission of a valuated global certificate.
RAHMEN-NOMINALE (Up-to nominal)	Up-to nominal	The RAHMEN-NOMINALE (UP-TO NOMINAL) is the nominal of a global certificate (up-to) that represents the limit for the mark up of a global certificate (up-to). There may be multiple global certificates (up-to) within a security
NOMINALE-DISPOSITIV (Nominal anticipated)	Dispositive nominal	In order to ensure that the part of a global certificate (up-to) which was not marked up is sufficient for pending mark downs between release for booking and transfer to CARAD, the order nominal to be valuated is entered in the NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED) field. With booking authorisation (both manual and automatic), the dispositive nominal for the respective certificate is increased by the order nominal.The dispositive nominal is reduced by the order nominal with the successful transfer of an order to CARAD and the global certificate nominal is increased accordingly. If booking authorisation is withdrawn and/or if the order is deleted (manually or as a result of redenomination), the dispositive nominal is again reduced by the order nominal.
NOMINALE-OFFEN (Pending nominal)	Total pending nominal	The NOMINALE-OFFEN (PENDING NOMINAL) is the difference of the up-to nominal less the certificate nominal less dispositive nominals.
GES-NOM-SAMMEL (total global certificate nominal)	Total global certificate nominal	This is displayed without decimal places if the content is "zero". • For global certificates (up-to): It contains the sum of the valuated parts of the up-to nominal for all Rahmenurkunden belonging to the security in the CARAD working stock for the selected CARAD custody type. • For all other global certificates: It contains the sum of the nominals for all global certificates (permanent global certificates) belonging to a security in the CARAD working stock for the selected CARAD custody type.
GES-RAHMEN-NOM (Total up-to nominal)	Total up-to nominal	The sum of the global certificates (up-to) for all global certificates in the CARAD working stock belonging to a security for the CARAD custody type is calculated and is entered in the GES-RAHMEN-NOM (TOTAL UP-TO NOMINAL) field.
GES-NOM-DISPOSITIV (Total dispositive nominal)	Total dispositive nominal	The GES-NOM-DISPOSITIV (TOTAL DISPOSITIVE NOMINAL) contains the sum of all dispositive nominals for a security.
GES-OFFENE-NOM (total pending nominal)	Total pending nominal	The difference between the up-to nominal GES-RAHMEN-NOM and the valuated nominal GES-NOM-SAMMEL. For the readout on the tabular overview, the difference is calculated from the sum of the up-to nominal less the sum of the nominal for all global certificates less the sum of the dispositive nominals less the assigned nominals.

2.2.4.3 Overview total positions

If only the WKN is entered on the initial screen, then the user receives a readout for all positions. From there the user can access detailed views and/or overview screens for global certificates. If the global certificate ID is set to "Ja" (Yes), then only the global certificates are displayed. If the global certificate ID is set to "Nein" (No), then only the individual certificates are displayed.

Entering a deposit type on the initial screen makes the readout more specific. Only the data for the requested deposit type is shown

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                     INFORMATION GESAMTBESTAND                 SEITE:    1

  WKN : I DE0008474040 DWS INTER-RENTA

  Globalurkunden
  HLG  Anz. Urk.   Sammelnominale
   01          3    1.585.060.000
_ Summe GU
               3    1.585.060.000
  Rahmenurkunden
  HLG  Anz. Urk.   Sammelnominale       Rahmennominale       Disp. Nominale
   01          4       96.596.829,693    1.663.000.000,500                0
_ Summe RU
               4       96.596.829,693    1.663.000.000,500                0
_ Summe GU und RU
               7    1.681.656.829,693



-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:48:18 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch PF8:Vor
```

Figure 2.3: KCKI total positions overview

As the data from the total view does not fit on one screen, at least one subsequent page will be created. The separation in this example in front of the individual certificates is purely arbitrary. Delimitation can

occur at any point, whereupon the respective column headings are repeated on the following page so that the data can be allocated.

```
TRAN: KCKI FC: IH SB: I# DE0008474040####

CARAD                    INFORMATION GESAMTBESTAND                  SEITE:   2

  WKN : I DE0008474040 DWS INTER-RENTA
  Einzelurkunden                                            Stand: 06.05.2005
  HLG  Anz. Urk.         Nominale      Litera       Stückelung
_  01        400              400                          1
_  01        101              101          A               1
_  01        300            1.500          B               5
_  01      1.023           10.230                         10
_  01        120            1.200          C              10
_  01        383           38.300                        100
_  01         42            4.200          D              100
_  01        286          286.000                      1.000
_  01        497        4.970.000                     10.000
_  01    500.000    5.000.000.000          F           10.000
  Summe HLG
        503.152    5.005.311.931
_  03        100              100                          1

-- ID-KZ: 7907231003 -- PW:          ------ B7907494 -- 09/05/05 -- 11:48:08 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
```

Figure 2.4: KCKI total positions subsequent screen

```
TRAN: KCKI FC: IH SB: I# DE0008474040####

 CARAD                    INFORMATION GESAMTBESTAND                  SEITE:   2

   WKN : I DE0008474040 DWS INTER-RENTA
   Einzelurkunden                                           Stand: 06.05.2005
   HLG  Anz. Urk.         Nominale      Litera       Stückelung
_  03        100              100          A               1
_  03        100              500          B               5
_  03        100            1.000                         10
_  03        180            1.800          C              10
_  03        260           26.000          D             100
   Summe HLG
             840           29.500
_  20         76               76                          1
_  20        300              300          A               1
_  20        100              500          B               5
_  20        271            2.710                         10
_  20        700            7.000          C              10


 -- ID-KZ: 7907231003 -- PW:          ------ B7907494 -- 09/05/05 -- 11:48:37 --
 KC0015I Bitte Kennzeichen eingeben
 PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
```

Figure 2.5: KCKI total positions subsequent screen

```
TRAN: KCKI FC: IH SB: I# DE0008474040####

 CARAD                     INFORMATION GESAMTBESTAND                  SEITE:   2

   WKN : I DE0008474040 DWS INTER-RENTA
   Einzelurkunden                                              Stand: 06.05.2005
   HLG  Anz. Urk.          Nominale      Litera       Stückelung
 _  20        700            70.000          D              100
   Summe HLG
            2.147            80.586
   Summe EU
           506.139     5.005.422.017
   Summe Gesamt
           506.148     5.013.032.017









 -- ID-KZ: 7907231003 -- PW:          ------ B7907494 -- 09/05/05 -- 11:48:53 --
 KC0024I Keine weiteren Daten vorhanden
 PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 2.6: KCKI total positions subsequent screens overview

The screen order is permanent global certificate, global certificate (up-to) and then individual certificates. Pressing PF8 browses forward and pushing PF7 browses back.

Totals are calculated for the respective permanent global certificates, global certificates (up-to) and individual certificates. A subtotal per deposit type is also calculated within the individual certificates. Finally, a total sum of all positions selected and displayed as a result of the selection is calculated.

If the user enters "I" in one of the total lines followed by ENTER, he accesses the corresponding overview. This is possible in the lines "Summe GU und RU" (Permanent global certificate, global certificate (up-to) total), "Summe RU") (Global certificate (up-to) total) and "Summe GU" (Permanent global certificate total).

If the user selects an individual certificate, then certificate numbers from the working, block package and ice block package stock are displayed in arithmetical order. (Entering "I" in the KZ field and ENTER.)

Positions from booked orders which have not been received are taken into account in the sums for the permanent global certificates and global certificates (up-to).

Only one line can be selected.

2.2.4.4 Overview global certificates

The user can reach this screen via the complete overview or the complete overview global certificates if he enters "I" in the total line GU and RU selects it by pressing ENTER. The permanent global certificates and global certificates (up-to) are displayed.

The permanent global certificates and global certificates (up-to) are displayed sorted according to the deposit type and collective number.

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                      INFORMATION GESAMTBESTAND                  SEITE:    1

  WKN : I DE0008474040 DWS INTER-RENTA

  Globalurkunden
  HLG  Anz. Urk.   Sammelnominale
   01          3    1.585.060.000
_ Summe GU
               3    1.585.060.000
  Rahmenurkunden
  HLG  Anz. Urk.   Sammelnominale       Rahmennominale       Disp. Nominale
   01          4       96.596.829,693    1.663.000.000,500                0
_ Summe RU
               4       96.596.829,693    1.663.000.000,500                0
i Summe GU und RU
               7    1.681.656.829,693



-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:52:33 --
KC0105I Funktion beendet, bitte wählen Sie aus
PF3:Rücksprung PF4:Abbruch PF8:Vor
```

Figure 2.7: Complete overview global certificates

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                     INFORMATION SAMMELURKUNDEN                 SEITE :   1
                             TABELLARISCHE ANZEIGE

WKN: I DE0008474040 DWS INTER-RENTA
                                        Ges-Nom-Sammel    :   1.681.656.829,693
                                        Ges-Rahmen-Nom    :   1.663.000.000,500
                                        Ges-Nom-Dispositiv:               0
                                        Ges-Nom-Offen     :   1.566.403.170,807
KZ HLG Ord- Sammel- Nom-Sammel              Nom-Offen          Rahmen-Nom   Stk
         Nr   Nr    Nom-Dispositiv                                         Nr
 _ 01   1111    244              0         60.000.000          60.000.000    N
                                 0
 _ 01   1112    245         30.000          2.970.000           3.000.000    N
                                 0
 _ 01   1113    246         60.000                                           N

 _ 01   1110    243      5.000.000                                           N


-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:52:02 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch PF8:Vor
```

Figure 2.8: KCKI global certificates overview

The STKNR field (CERTIFICATE NUMBER) indicates whether there are certificate numbers on the global certificate.

Selecting a global certificate by entering "I" and pressing ENTER accesses the detailed view permanent global certificates or global certificates (up-to).

2.2.4.5 Overview permanent global certificate

The user can access this screen via the complete overview or the complete overview permanent global certificates or global certificates (up-to) if he enters "I" in the total line global certificate “SUMME GU” (TOTAL PERMANENT GLOBAL CERTIFICATE) and selects it by pressing ENTER. Only the permanent global certificates are displayed.

The global certificates are displayed sorted according to the Hinterlegungsart (deposit type) and NOM-SAMMEL (GLOBAL CERTIFICATE NOMINAL).

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                     INFORMATION GESAMTBESTAND                 SEITE:    1

  WKN : I DE0008474040 DWS INTER-RENTA

  Globalurkunden
  HLG  Anz. Urk.   Sammelnominale
   01          3    1.585.060.000
i Summe GU
               3    1.585.060.000
  Rahmenurkunden
  HLG  Anz. Urk.   Sammelnominale       Rahmennominale       Disp. Nominale
   01          4       96.596.829,693    1.663.000.000,500                0
_ Summe RU
               4       96.596.829,693    1.663.000.000,500                0
_ Summe GU und RU
               7    1.681.656.829,693



-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:54:11 --
KC0105I Funktion beendet, bitte wählen Sie aus
PF3:Rücksprung PF4:Abbruch PF8:Vor
```

Figure 2.9: Complete overview global certificates

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION GLOBALURKUNDEN                 SEITE :   1
                            TABELLARISCHE ANZEIGE


WKN : I DE0008474040 DWS INTER-RENTA
                                            Ges-Nom-Sammel:   1.585.060.000

KZ HLG Ord-Nr Sammel-Nr       Nom-Sammel       Stknr
 _ 01    1113       246           60.000         N
 _ 01    1110       243        5.000.000         N
   01      18       247    1.580.000.000         N









-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:54:25 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch
```

Figure 2.10: KCKI permanent global certificates overview

The STKNR field (CERTIFICATE NUMBER) indicates whether there are certificate numbers on the global certificate.

Selecting a global certificate by entering "I" and pressing ENTER accesses the detailed view global certificate.

2.2.4.6 Overview global certificates (up-to)

The user can access this screen via the complete overview or the complete overview permanent global certificates or global certificates (up-to) if he enters "I" in the total line global certificate (up-to) SUMME RU (TOTAL GLOBAL CERTIFICATE (UP-TO)) and selects it by pressing ENTER. Only the global certificates (up-to) are displayed.

The global certificates (up-to) are displayed sorted according to the Hinterlegungsart (deposit type) and NOM-SAMMEL (GLOBAL CERTIFICATE NOMINAL).

```
TRAN: KCKI FC: IH SB: W#847404#####

 CARAD                     INFORMATION GESAMTBESTAND                 SEITE:    1

   WKN : I DE0008474040 DWS INTER-RENTA

   Globalurkunden
   HLG  Anz. Urk.    Sammelnominale
    01          3     1.585.060.000
 _ Summe GU
                3     1.585.060.000
   Rahmenurkunden
   HLG  Anz. Urk.    Sammelnominale       Rahmennominale       Disp. Nominale
    01          4        96.596.829,693    1.663.000.000,500                0
 i Summe RU
                4        96.596.829,693    1.663.000.000,500                0
 _ Summe GU und RU
                7     1.681.656.829,693



 -- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:54:51 --
 KC0105I Funktion beendet, bitte wählen Sie aus
 PF3:Rücksprung PF4:Abbruch PF8:Vor
```

Figure 2.11: Complete overview global certificate

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION RAHMENURKUNDEN                 SEITE :   1
                            TABELLARISCHE ANZEIGE

WKN: I DE0008474040 DWS INTER-RENTA
                                        Ges-Nom-Sammel    :      96.596.829,693
                                        Ges-Rahmen-Nom    :   1.663.000.000,500
                                        Ges-Nom-Dispositiv:                  0
                                        Ges-Nom-Offen     :   1.566.403.170,807
KZ HLG Ord- Sammel- Nom-Sammel              Nom-Offen          Rahmen-Nom   Stk
         Nr   Nr    Nom-Dispositiv                                          Nr
 _ 01   1111    244              0         60.000.000          60.000.000     N
                                 0
 _ 01   1112    245         30.000          2.970.000           3.000.000     N
                                 0
 _ 01    276    242     17.860.686,798    782.139.313,702     800.000.000,500 N
                                 0
 _ 01    121    230     78.706.142,895    721.293.857,105     800.000.000     N
                                 0

-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:55:11 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch
```

Figure 2.12: KCKI global certificates (up-to) overview

The STKNR field (CERTIFICATE NUMBER) indicates whether there are certificate numbers on the global certificates (up-to).

Selecting a global certificates (up-to) by entering "I" and pressing ENTER accesses the complete view global certificates (up-to).

2.2.4.7 Detailed view permanent global certificate

The user accesses this screen by

- entering the exact collective or organisation number for a permanent global certificate in the initial screen; or
- selecting a permanent global certificate with "I" and by pressing “Enter” in the screen “Übersicht Globalurkunde” (Overview permanent global certificate); or
- selecting a permanent global certificate with "I" and by pressing “Enter” in the screen “Übersicht Sammelurkunde” (Overview global certificate)

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION GLOBALURKUNDEN                SEITE :   1
                            TABELLARISCHE ANZEIGE


WKN : I DE0008474040 DWS INTER-RENTA
                                              Ges-Nom-Sammel:   1.585.060.000

KZ HLG Ord-Nr Sammel-Nr       Nom-Sammel       Stknr
 i 01    1113       246           60.000         J
 _ 01    1110       243        5.000.000         N
 _ 01      18       247    1.580.000.000         N









-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:55:58 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch
```

Figure 2.13: Overview permanent global certificate

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION GLOBALURKUNDE                    SEITE :   1
                            VOLLANZEIGE

WKN : I DE0008474040 DWS INTER-RENTA
HLG : 01 GS                                    Nom-Sammel   :          60.000
Ord-/Sammel-Nr:   1113 /    246
Einlief-Grund :   1 AUS EMISSION

Status : 500 KONTROLLIERT

   Anzahl     Stückelung     Stückenummern (Verbriefte Urkunden)
        6         10.000     1-6









-- ID-KZ: 7907231003 -- PW:          ------ B7907494 -- 09/05/05 -- 11:52:52 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung  PF4:Abbruch
```

Figure 2.14: KCKI permanent global certificate detailed view

2.2.4.8 Detailed view global certificate (up-to)

The user accesses this screen by

- entering the exact collective or organisation number for a global certificate (up-to) in the initial screen; or
- selecting a global certificate (up-to) with "I" and by pressing “Enter” in the screen “Übersicht Rahmenurkunde” (Overview global certificate (up-to)); or
- selecting a global certificate (up-to) with "I" and by pressing “Enter” in the screen "Übersicht Sammelurkunde“ (Overview global certificate).

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION RAHMENURKUNDEN                  SEITE :   1
                            TABELLARISCHE ANZEIGE

WKN: I DE0008474040 DWS INTER-RENTA
                                        Ges-Nom-Sammel    :      96.596.829,693
                                        Ges-Rahmen-Nom    :   1.663.000.000,500
                                        Ges-Nom-Dispositiv:                  0
                                        Ges-Nom-Offen     :   1.566.403.170,807
KZ HLG Ord- Sammel- Nom-Sammel              Nom-Offen          Rahmen-Nom   Stk
         Nr   Nr    Nom-Dispositiv                                          Nr
 _ 01   1111    244              0         60.000.000          60.000.000     N
                                 0
 _ 01   1112    245         30.000          2.970.000           3.000.000     N
                                 0
 i 01    276    242     17.860.686,798    782.139.313,702     800.000.000,500 N
                                 0
   01    121    230     78.706.142,895    721.293.857,105     800.000.000     N
                                 0

-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:57:52 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch
```

Figure 2.15: Overview global certificate (up-to)

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION RAHMENURKUNDE                  SEITE :   1
                            VOLLANZEIGE

WKN : I DE0008474040 DWS INTER-RENTA
HLG : 01 GS                                 Nom-Sammel    :     17.860.686,798
Ord-/Sammel-Nr:    276 /    242             Rahmen-Nom    :    800.000.000,500
Einlief-Grund :   1 AUS EMISSION            Nom-Disp      :                  0
                                            Nom-Offen     :    782.139.313,702
Status : 500 KONTROLLIERT

   Anzahl     Stückelung     Stückenummern (Verbriefte Urkunden)









-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:58:20 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung PF4:Abbruch
```

Figure 2.16: KCKI global certificate (up-to) detailed view

2.2.4.9 Detailed view individual certificate

There are two ways to access this screen, via the initial screen by specifying the "HLG" (deposit type)/ "Litera" (literal)/ "Stückelung" (denomination) and via the complete overview by selecting a processing unit (deposit type/literal/denomination).

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                     INFORMATION GESAMTBESTAND                SEITE:    2

  WKN : I DE0008474040 DWS INTER-RENTA

  Einzelurkunden                                              Stand: 23.11.2010
  HLG  Anz. Urk.          Nominale      Litera       Stückelung
_  01     93.477            93.477                          1
_  01    329.552         3.295.520                         10
i  01          1                99,999                     99,999
_  01    288.251        28.825.100                        100
   01      1.775           887.500                        500
_  01        546           546.000                      1.000
  Summe HLG 01
          713.602        33.647.696,999
_  03    220.788           220.788                          1
_  03     75.671           756.710                         10
_  03    108.632        10.863.200                        100
_  03    119.003        59.501.500                        500

-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 13:59:50 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch PF7:Zurück PF8:Vor
```

Figure 2.17: Total overview individual certificates

```
TRAN: KCKI FC: IH SB: W#847404#####

CARAD                    INFORMATION EINZELURKUNDEN               SEITE:    1
                             VOLLANZEIGE                    Stand: 23.11.2010


WKN   :  I DE0008474040 DWS INTER-RENTA
HLG   : 01 GS                                    Nominale:              99,999
STCKL:                 99,999             Anzahl Urkunden:               1
1/3,









-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 24/11/10 -- 14:00:30 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung PF4:Abbruch
```

Figure 2.18: KCKI individual certificate detailed view

The certificate numbers are displayed in arithmetical order from the working, block package and ice block package stock. The advantage is that the readout is independent of the organisation of the positions at Clearstream Banking Frankfurt. All certificate numbers for a denomination and a literal are also available in one readout.

The readout of the certificate numbers is not created online. The positions are consolidated in a database the previous evening after all changes to positions have occurred. The data from this database is displayed. The date, on which the data was determined, is displayed in the "STAND" field (STATUS).

If present, the "abweichende Gattungsbezeichnung" field (Divergent security designation) is displayed.

2.3 Information certificate number search KCKI IS

```
TRAN: KCKI FC: IS SB: W#847404###1##

CARAD            I N F O R M A T I O N   U R K U N D E N B E S T A N D

   IH  INFORMATION URKUNDEN          IS  INFORMATION STUECKENUMMERNSUCHE




   WKN             : W 847404
   HINTERLEGUNGSART: __

   STUECKELUNG     : __ 1
   STUECKENUMMERN  : 21

   SAMMELURKUNDE   : _ (J/N)
   ORD-/SAMMEL-NR  : ______ / ______

   BANK            : ____
   KUNDENREFERENZ  : _ ___ - _____________ ___ - _____________

-- ID-KZ: 7999230003 -- PW:          ------ B7907495 -- 16/01/06 -- 09:28:15 --
KC0114I Bitte Daten eingeben
PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch
```

Figure 2.19: CARAD certificate positions KCKI initial screen

The online certificate number search in the CARAD system includes the certificates from the current block package stock, the working stock and the CASCADE deposit/withdrawal balance.

The stock is differentiated on the screen in which the certificate is found.

The following fields are required fields on the selection screen:

- WKN
- LITERA (if present in the master data)
- STUECKELUNG (DENOMINATION)
- STUECKENUMMER (CERTIFICATE NUMBER)

The certificate number is entered as continuous text. Only one certificate number may be entered (for example, 13802001).

Entry in the following fields will not be taken into account:

- Hinterlegungsart (DEPOSIT TYPE)
- SAMMELURKUNDE (J/N) (GLOBAL CERTIFICATE)
- ORD-/SAMMEL-NR

2.3.1 Certificate in the search is located in the working stock

2.3.1.1 Individual certificate

The certificate number in the search is securitised as an individual certificate.

```
TRAN: KCKI FC: IS SB: W#847404###1##

CARAD            INFORMATION STUECKENUMMERNSUCHE                    HANDBESTAND


WKN             : I DE0008474040 DWS INTER-RENTA


HINTERLEGUNGSART: 01
STUECKELUNG     :    1
STUECKENUMMER   : 21
STUECKEART      :   1 M + B GETRENNT
VERWAHRMOEGL/ART:   9 GIROSAMMELVERW.

STATUS          : 500 KONTROLLIERT
MERKMAL         : -


NACHWEISART     :   1 EINLIEF. EFF. URK.


-- ID-KZ: 7999230003 -- PW:          ------ B7907495 -- 16/01/06 -- 09:29:20 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung  PF4:Abbruch
```

Figure 2.20: Certificate number search individual certificate KCKI display screen

Pressing the PF3 or PF4 key returns the user to the selection menu for information.

2.3.1.2 Global certificate

The certificate number in the search is securitised as a global certificate.

```
TRAN: KCKI FC: IS SB: W#847404###10.000##

CARAD            INFORMATION STUECKENUMMERNSUCHE                    HANDBESTAND
                        SAMMELURKUNDE

WKN             : I DE0008474040 DWS INTER-RENTA


HINTERLEGUNGSART: 01
STUECKELUNG     :    10.000
STUECKENUMMER   : 21122005001
STUECKEART      :   1 M + B GETRENNT
VERWAHRMOEGL/ART:   9 GIROSAMMELVERW.

STATUS          : 500 KONTROLLIERT
MERKMAL         : -
                                       ORD-/SAMMEL-NR  :   1606 /    233
                                       RAHMEN-NOM      :
                                       NOM-SAMMEL      :         30.000


-- ID-KZ: 7999230003 -- PW:          ------ B7907495 -- 16/01/06 -- 09:30:49 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung  PF4:Abbruch
```

Figure 2.21: Certificate number search global certificate KCKI information display screen

The “Merkmal” field (characteristic) provides information on the characteristics of the selected certificate number.

Pressing the PF3 or PF4 key returns the user to the selection menu for information.

Pressing the PF10 key displays existing characteristics for a certificate number (example screen on the following page).

2.3.2 Certificate in the search is located in the block package stock

```
TRAN: KCKI FC: IS SB: W#847404###100##

CARAD            INFORMATION STUECKENUMMERNSUCHE                  BLOCKBESTAND


WKN             : I DE0008474040 DWS INTER-RENTA


HINTERLEGUNGSART: 01
STUECKELUNG     :    100
STUECKENUMMER   : 5846328
STUECKEART      :   1 M + B GETRENNT
VERWAHRMOEGL/ART:   9 GIROSAMMELVERW.

STATUS          : 505 KONTR. EINGEG.
MERKMAL         :
BLOCKART        : B




-- ID-KZ: 7999230003 -- PW:          ------ B7907495 -- 17/01/06 -- 11:01:55 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung  PF4:Abbruch
```

Figure 2.22: Certificate number search block package stock KCKI display screen

If "B" is displayed in the “Blockart” field (block type) and in the event of a corresponding entry in the text on the top right, then the certificate in the search is located in the block package stock.

The lacks/characteristics displayed in the “Merkmal” field (characteristic) concern the selected certificate number (not the block where the certificate number is documented).

Pressing the PF3 or PF4 key returns the user to the selection menu for information.

2.3.3 Certificate in the search is located in the CASCADE deposit/ withdrawal balance

```
TRAN: KCKI FC: IS SB: W#847404###1##

CARAD            INFORMATION STUECKENUMMERNSUCHE          EINLIEFERUNGSBESTAND


WKN             : I DE0008474040 DWS INTER-RENTA


HINTERLEGUNGSART:
STUECKELUNG     :    1
STUECKENUMMER   : 1
STUECKEART      :   1 M + B GETRENNT
VERWAHRMOEGL/ART:   9 GIROSAMMELVERW.

STATUS          : 500 KONTROLLIERT
MERKMAL         :




-- ID-KZ: 7999230003 -- PW:          ------ B7907495 -- 16/01/06 -- 10:03:04 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung  PF4:Abbruch
```

Figure 2.23: Certificate number search deposit withdrawal balance KCKI display screen

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3. List request certificate positions KCSL

3.1 General information about KCSL

List request is accessed via the Deutsche Börse Group start screen.

```
TRAN: MENU FC:    SB:

                              G r u p p e  D e u t s c h e  B o e r s e


Anwendungen stehen Ihnen aus folgenden Bereichen zur Verfuegung:

AK:  Clearstream Banking AG, Frankfurt   KS:  Clearstream Banking AG, Frankfurt
     International                            Domestic

BI:  XONTRO                              TR:  TRICE Meldewesen

WS:  Wertpapier - Service - System       EK:  Engagementkontrolle

BS:  Deutsche WertpapierService Bank AG  SO:  Sonstige Dienstleistungen

TRAN=DSLE: SWIFT/MERVA


Verlassen IMS: TRAN=/RCL + evtl. vorh. Daten in FC, SB, ID-KZ, PW loeschen

-- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 06/12/06 -- 10:39:38 --

SY0096A BITTE WAEHLEN SIE AUS
```

Figure 3.1: Deutsche Börse AG start screen

Entering the function code “KS” accesses the Clearstream Banking, Frankfurt[1] start screen.

```
TRAN: MENU FC:    SB:



            C l e a r s t r e a m   B a n k i n g ,   F r a n k f u r t


Funktionsangebot fuer Clearstream Banking, Frankfurt - Domestic

CA:  CASCADE - Auftragsabwicklung WP     CE:  CARAD - Emissionsueberwachung

CG:  CASCADE - Auftragsabwicklung GELD   CP:  CARAD - Pruefstellen

CK:  CASCADE - Dienste                   CD:  CARAD - Stueckenummernverwaltung

CR:  CASCADE - Dienste Namensaktien      KU:  Kundenstammdaten

KA:  Kapitaldienste                      EO:  Allgemeine Dienste



-- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 06/12/06 -- 10:52:25 --

SY0096A BITTE WAEHLEN SIE AUS
```

Figure 3.2: Clearstream Banking, Frankfurt start screen

The function code “CD” must be selected here in order to access the selection screen for certificate number management.

```
TRAN: MENU FC:    SB:

CARAD                  AUSWAHL TRESORVERWALTUNG
                       STUECKENUMMERNVERWALTUNG

   BLOCKBESTAND                              HANDBESTAND

   ERFASSUNGSBESTAND                         HE  ERFASSUNG
   EE  ERFASSUNG                             HA  AUSTRAGUNG/BLOCKBILDUNG
   EA  AENDERUNG/LOESCHUNG                   HI  INFORMATION
   EK  KONTROLLE
   EI  INFORMATION

   STUECKENUMMERNBESTAND
   SA  AENDERUNG/LOESCHUNG
   SI  INFORMATION                           REPORTING
   SQ  QUITTIERUNG                           KI  INFORMATION
                                             SL  ANFORDERUNG LISTEN (BATCH)
   PT  PHYSISCHER TRESORBESTAND
   CV  KUPONVERWALTUNG

-- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 07/12/07 -- 14:57:38 --

KC0105I Funktion beendet, bitte wählen Sie aus
```

Figure 3.3: Certificate number management selection screen

From there, selecting ”SL” leads to the further menu for the list request.

1. Clearstream Banking refers in this document to Clearstream Banking AG, Frankfurt (CBF). CBF is a company of Deutsche Börse Group.

3.1.1 General description

Selecting the function code "SL" in the menu "Auswahl Tresorverwaltung Stückenummernverwaltung" (Selection vault management certificate number management) leads to the list request batch.

The user has the following options:

- Searching positions for a specific certificate number (for CBF internal purposes only); or
- Creating list requests.

The list request is issued by entering the corresponding function code and the additional selection with the PF3 key. The party issuing the request receives the list on the following day and/or one day after the requested date (print date).

```
TRAN: KCSL FC: US SB:

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H



   AG   Aktuelle Gesamtliste
   AE   Aktuelle Einzelliste
   AK   Aktuelle Kundendepotliste

   EM   Aktuelle Bestandsauswertung emissionsbegleitendes Institut

   nur CBF:

   NV   Auftragsnummernverzeichnis
   ST   Urkundensuche
   US   Stückenummern zur Sammelurkunde

   LB   Blockpostenliste


-- ID-KZ: 7999260001 -- PW:          ------ B7907494 -- 10/03/08 -- 10:50:23 --
KC0103I Verarbeitung abgebrochen
PF3:Rücksprung PF4:Abbruch
```

Figure 3.4: KCSL selection screen

Note: The certificate number search is performed online under TRAN: KCHI, FC: IS (for CBF internal purposes only).

3.1.2 Multi client capability

In general, all list requests are available for customers and CBF internal users under the transaction KCSL. Only the functions "Blockpostenliste" (Block package stock list) (LB), "Urkundensuche" (Certificate search) (ST), "Stückenummern zur Sammelurkunde" (Certificate number per global certificate) (US) and "Auftragsnummernverzeichnis" (Order number list) (NV) are reserved for CBF internal users.

Customers may only request the positions kept in the CBF vault where they are entered as the principle paying agent or the institution responsible for issuing certificates.

Branch offices can only request positions displayed by the head office if they access this function with a user ID from the head office.

Furthermore, customers also have the possibility under certain circumstances of obtaining analyses for their positions, which are stored in a third-party vault managed by.

CBF internal users can issue requests for CSC[1] positions and FTB[2] positions. Depositories and inhouse collecting positions are displayed here under the CSC vault positions.

With the function "AG - Gesamtliste" (AG - complete list), the field TRESOR-SEGM (VAULT-SEGM) has been introduced as an additional selection criterion to differentiate between the request for CBF or third-party safe custody positions.

On the other hand, the function "AE" exclusively concerns CBF vault positions and the function "AK" third party vault positions; that is, no additional criterion is necessary here.

Customers

- If the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 1, a check against the paying agent field and the field "emissionsbegleitendes Institut" (institution responsible for issuing certificates) is performed in WSIS KV. The bank (characters 1 to 4 of the user ID), must be entered either as the principle paying agent or the institution responsible for issuing certificates. A corresponding error message is issued in the event of an unsuccessful authorisation check.
- If the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 2, no authorisation check is performed as the bank may be neither the paying agent nor the institution responsible for issuing certificates with respect to the individually deposited SVT positions. The first four characters of the user ID ensure that the user is only able to view his own SVT positions as they are always stored under the respective bank number.
- If the function AK or the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 3, no authorisation check is performed as the bank may be neither the paying agent nor the institution responsible for issuing certificates with respect to the individually deposited FTB positions. The first four characters of the user ID ensure that the user is only able to view his own insourced vault positions as they are always stored under the respective bank number.

CBF internal users

- No check is conducted if the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 1.
- If the function AK or function AG is set to TRESOR-SEGM (VAULT-SEGM) = 2, the number of the desired third-party depository must also be specified in the new input field BANK.
- If the function AK or function AG is set to TRESOR-SEGM (VAULT-SEGM) = 3, the number of the desired third-party depository must also be specified in the input field BANK.

The field EMPFANGS-ABT. (RECEIVING DEPT.) is a required field for CBF internal users as it manages forwarding within.

Customers may not make any entries in the EMPFANGS-ABT. (RECEIVING DEPT.) field.

1. CSC - Collective Safe Custody
2. FTB - Fremdtresorbestand (Third-party Safe Custody)

3.1.3 Display of the WKN (Wertpapierkennnummer)

The usual identification numbers may be entered. The term WKN is understood as a securities identification number regardless of the form in which it is displayed (for example, ISIN, German WKN etc.). Entry options are as follows:

Field on the screen	Meaning	Formal correct	Input	Explanation	
WP-KENNUNG	Securities identification	1-character alpha-numerical	preset to "I"	Entry options:	
				B	Stock exchange code
				C	CUSIP number
				F	CEDEL-EURO number
				I	ISIN
				W	Alphanumerical WKN
WKN	Securities identification number	see explanation	required	The identification number corresponding to the WP-Kennung must be entered.	

The format of the designation displayed and/or printed for the WKN corresponds to that in the CASCADE transactions and KCKI and consists of the securities code and. if applicable the interest rate and interest date.

3.1.4 Certificate selection

These selection codes can be used with multi client list types to specify which information is to be displayed.

The following options are available:

- Selection I
  Inventarliste (Inventory list), that is, all certificate numbers for individual certificates and also with
  "AG - Gesamtliste" (AG - complete list)/ "AK - Aktuelle Kundendepotliste" (AK - third party vault positions) all global certificates with and without certificate numbers. Blocked, lack and replacement certificates and certificates with text information are included, but not expressly flagged.
- Selection O
  Only blocked and replacement certificates are printed. The blocked certificates are grouped according to the block reason. The blocked certificates and then the replacement certificates are displayed under one original code number.
- Selection M
  Only lack certificates and certificates with characteristics are printed. The lack certificates are grouped according to the lack reason and displayed separately according to the respective vault. All lacks and then certificates with characteristics are selected for each original code number.
- Selection T
  Only the certificates and/or global certificates with text information are printed. The texts are selected in ascending order according to the certificate number and/or collective number.

3.1.5 Output medium

The specified list types are available on a secure download page on the web site www.deutsche-boerse.com once they have been created. Only registered users have access to this page upon logon with their user ID and password. This ensures that each user is only able to view the lists ordered by his own bank.

The list types are generated in list form. For some list types, there is the option of requesting this list as a CSV file (see General format definitions for CSV files on page 2 -1). The output path remains the same in this case.

The following steps lead to the requested lists:

www.deutsche-boerse.com

Select "Host File Service" under the heading “Einloggen” (Login).

The login prompt will follow:

Select "Vaults-list" under the heading “Clearstream Data”.

3.1.6 PF keys

The following PF keys are used:

- PF3Process;
- PF4Cancel; back to the menu screen.

3.1.7 Print date

The execution date is to be entered in the field DRUCK-DATUM (PRINT DATE). If the execution date is not on a business day, then issue always occurs on the next business day. The field PRINT DATE is always preset with the current date, but can be overwritten. The entry in the field PRINT DATE may be up to 250 business days in the future. It is not possible to enter a date in the past.

When the print is initiated, an additional eligibility check is performed in order to determine whether the requesting user is also still eligible at this time. If the authorisation for the customer no longer exists, a “Kein-Bestand” (No Positions) list is created with the comment that eligibility is no longer in place.

3.2 General format definitions for CSV files

- The fields may not contain a semicolon as this is a delimiter for the individual columns. This is ensured by the upstream systems.
- The number of delimiters is the same in each record.
- The specified field sizes always represent maximum values.
- Numbers are displayed in German notation, a comma is therefore used for decimals. This character is included in the transfer and the fields are still considered numerical. With numerical fields, the transferred field parameter is one decimal place longer than in the description.
- Numbers do not contain any 1000 delimiters.
- No leading zeros are displayed, however, zeros after the decimal are displayed.
  Example:
  - A record consists of three numerical fields, each containing seven digits, four digits thereof in front of the decimal and three decimal places with the series of numbers

43,000	432,001	1234,999

  - CSV display: 43,000; 432,001;1234,999
- Text fields do not contain any leading or following spaces.
- Blank fields are shown without any inserted spaces.
  Example:

1,11		5666	87999	12154

CSV display: 1,11;;5666;87999;12154

3.3 List request certificate list - customer vault (AK)

3.3.1 General description

The list provides an index of all individual and permanent global certificate positions for a customer reference.

The list can be refined through the entry of a WKN.

The individual certificates are printed separately by WKN and denomination. Then the permanent global certificates are listed according to collective number under the same original code number. Permanent global certificates are also printed, for which no certificate numbers have been entered.

This list type can be arithmetised or requested in filing order. Only the arithmetised list can be requested for the certificate selection T (text information).

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Individual and permanent global certificates reserved for assignment are also not issued.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD1 processing. This therefore concerns the final positions for the day that was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or, if no eligibility exists for a bank, then a "Kein-Bestand" (no positions) list is generated.

3.3.2 Screen layout

```
TRAN: KCSL FC: AK SB:

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H
                     Stückeliste Kundendepot aktuell


Bank            :
Kundenreferenz  : _ ___ - _______________  ___ - _______________
WKN             : I ___________



Stückeauswahl   : _ (I/O/M/T)
Arithmetisiert  : J (J/N)




Druck-Datum     : 26.09.2007
Ausgabemedium   : 03 INTERNET
Empfangs-Abt.   : __
-- ID-KZ: 7907232003 -- PW:          ------ B7907495 -- 26/09/07 -- 12:35:04 --
KC0366F Bitte Banknummer eingeben
PF3:Verarbeitung  PF4:Abbruch
```

Figure 3.1: Customer vault selection screen

Selection criteria	
BANK	CBF: Required, CUSTOMER: Input not permitted
KUNDENREFERENZ (CUSTOMER REFERENCE)	Required
WKN	Optional
ARITHMETISIERT (J/N) (ARITHMETISED (Y/N))	Required, preset to J in the event of certificate selection T, the entry of N is not allowed
STUCKEAUSWAHL (I, O, M,T) (CERTIFICATE SELECTION)	Required
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Required
EMPFANGS-ABT. (RECEIVING DEPT)	CBF: Required CUSTOMER: Input not permitted

In addition to the customer reference, the list content can be further restricted through the entry of an WKN.

The specification of the mark for the certificate selection specifies which certificates should be individually displayed.

- Selection I
  Inventory list, that is, all certificate numbers for individual certificates and all global certificates with and without certificate numbers. Blocked, lack and replacement certificates are contained, but not expressly marked.
- Selection O
  Only blocked and replacement certificates.
- Selection M
  Only lack certificates and certificates with characteristics.
- Selection T
  Only securities/certificates with texts.

With “arithmetisiert (J/N)” (arithmetised (Y/N)), one can chose whether the order of the certificate numbers is in ascending or in filing order. The print date may not be in the past and is preset to the current date.

3.3.3 List layout

The list structure corresponds to that of the total current certificate list for a third-party vault.

3.4 List request complete certificate number list (AG)

3.4.1 General description

This certificate list consists of up to three list types for an analysis of the CBF vault positions TRESOR-SEGM (VAULT SEGM) = 1.

- List type 1 comprises the positions for the individual certificates (block and individual certificates);
- List type 2 permanent global certificates; and
- List type 3 global certificates (up-to).

If no data exists for the positions, then nothing is displayed for this list type.

The certificate numbers for the individual certificates from working, blocked and ice block package stock are grouped within one WKN, safekeeping type, divergent security designation and denomination.

The complete list for a third-party vault comprises all three list types. If requested, it can be specified whether the certificate numbers are to be summarised under one WKN/safekeeping type for the individual certificates (independent from the customer reference) or whether identification by customer reference is desired.

The global certificates are printed within one list type under the same original code number in ascending order according to collective number. Global certificates are also displayed without certificate numbers.

The selection of the certificate numbers is arithmetised for all list types.

The positions are displayed independently of the vault type; the current vault type is applied in the event that lack, replacement and blocked certificates are displayed.

Identification occurs according to the entry in CARAD for RS[1] securities.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are also not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then a "Kein Bestand" (no positions) list is generated.

Different safekeeping types are assigned to the different vault segments.

KZ Vault segm. characteristic	Designation	Permissible safekeeping type	Preset for the safekeeping type
1	CSD - Collective Safe Custody	01, 03, 10	01
2	Specialised Custody	20, 22	20
3	Third-party Vault	30, 31	30
4	Precious Metal	40, 41	40
5	Other/only CARAD	92	92

1. RS - Registered shares.

```
TRAN: KCSL FC: AG SB: I######

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H
                         Stückeliste Gesamt aktuell

Tresor-Segm    : _ (1-GS/2-SVT/3-FTB/4-METALL/5-SONST)
Bank           : ____

WKN            : I ____________


HLG-Art        : __
Stückeauswahl  : _ (I/O/M/T)
Referenziert   : _ (J/N)




Druck-Datum    : 15.12.2009
Ausgabemedium  : __
Empfangs-Abt.  : __
-- ID-KZ: 7003230003 -- PW:          ------ B7907494 -- 15/12/09 -- 12:28:43 --
KC0697F Das Feld TRESOR-SEGEMENT muss noch gefuellt werden
PF3:Verarbeitung PF4:Abbruch
```

Figure 3.1: KCSL AG input screen

Selection criteria					
TRESOR-SEGM (VAULT SEGM)	1	2	3	4	5
BANK	CBF: Required Customer: Not permitted	CBF: Required Customer: Not permitted	CBF: Required Customer: Not permitted	Not permitted	Not permitted
WKN	Optional	Optional	Required	Required	Required
HLG-ART (SAFEKEEPING TYPE)	Optional; 1, 3, 10 or 92 only	Required; 20, 22 only	Optional; 30 only	Optional; 40, 41 only	Optional; 92 only
STUCKE-AUSWAHL (CERTIFICATE SELECTION) (I,O,M,T)	Required	Required	Required	Required	Required
REFERENZIERT (J/N) (REFERENCED (Y/N))	Required	Optional	Not permitted	Not permitted	Not permitted
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date	Required, preset to today's date	Required, preset to today's date	Required, preset to today's date	Required, preset to today's date
AUSGABE-MEDIUM (OUTPUT MEDIUM)	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file
EMPFANGS-ABT. (RECEIVING DEP.)	CBF: Required, only vault departments permitted Customer: Not permitted	CBF: Required, only vault departments permitted Customer: Not permitted	CBF: Required, only vault departments permitted Customer: Not permitted	CBF: Required, only vault departments permitted Customer: Not permitted	CBF: Required, only vault departments permitted Customer: Not permitted

Entry of REFERENZIERT (J/N) (REFERENCED (Y/N) is only possible in connection with TRESOR-SEGM (VAULT SEGM) = 3.

If TRESOR-SEGM (VAULT SEGM) = 3 is selected, processing of the list occurs depending on the selection in WKN and REFERENZIERT (J/N) (REFERENCED (Y/N):

- If no WKN is entered and:
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = N
    > comprehensive list processing per WKN according to KUNDENREFERENZ (CUSTOMER REFERENCE).
    All securities in the vault are listed independent of the customer reference. The customer reference is not printed in the list.
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = J
    > List processing per WKN per KUNDENREFERENZ (CUSTOMER REFERENCE).
    All securities are issued for all customer references of the vault. The customer reference is printed in the list.
- If a WKN is entered and:
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = N
    > comprehensive list processing for WKN according to KUNDENREFERENZ (CUSTOMER REFERENCE).
    The specified security for the vault is issued independent of the customer reference. The customer reference is not printed in the list.
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = J
    > List processing per WKN and KUNDENREFERENZ (CUSTOMER REFERENCE).
    The security is issued for each customer reference for the vault. The customer reference is printed in the list.

The specification of the mark for the certificate selection specifies which certificates should be individually displayed, as follows:

Selection	Description
I	Inventory list, that is, all certificate numbers for individual certificates and all permanent global certificates/global certificates (up-to) with and without certificate numbers. Blocked, lack and replacement certificates are contained, but not expressly marked.
O	Only blocked and replacement certificates.
M	Only lack certificates and certificates with characteristics.
T (only permissible in the event of a third-party vault)	Only certificates with text.

The print date may not be in the past and is preset to the current date.

For the certificate selection I, a list (03) and a CSV file (04) may be chosen as the output medium.

3.4.2 List layout

3.4.2.1 Cover page

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand

   Name         : XXXXXXXXXXXXXXXXXXXXXXXXXXXXX9
                  XXXXXXXXXXXXXXXXXXXXXXXXXXXXX9
   Straße       : XXXXXXXXXXXXXXXXXXXXXXXXXXXXX9
   PLZ/Postfach: 99999 XXXXXXXXXX
   Land/PLZ/Ort: X 99999 XXXXXXXXXXXXXXXXXXXX

   Angefordert von User-ID 9999999999 am TT.MM.JHJJ


   Anforderungsdaten

   Fremdtresor (J/N) : X
   Bank              : 9999 <Text                          >
   WKN               : W XXXXX9       <WKN-Bezeichnung                        >
                       I XXXXXXXXXXX9
   Hinterlegungsart  : 99 <HLG-TEXT             >
   Stückeauswahl     : X  <AUSWAHL-TEXT                     >
   Referenziert (J/N): X
   Druck-Datum       : TT.MM.JHJJ
   Ausgabemedium     : X  <AUSGABE-TEXT>
   Empfangs-Abt.     : 99 <EMPFANGS-ABT-TEXT                    >
```

Figure 3.2: Cover page

This address is only printed if a customer requests the list. If CBF requests this, this part of the cover page remains blank.

In the event of request data, only the fields with entries/presets are printed.

The page numbering is continuous for all existing list types.

3.4.2.2 Total current certificate list - certificate selection I - individual certificate list type

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)

Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale        : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >

   *** Fortsetzung Seite ZZZ9 ***
```

Figure 3.3: Total current certificate list I individual certificates

If there are no individual certificates, block packages or ice block packages for the request data, this list type is omitted and not replaced.

The vault line is only printed if a third-party vault is selected and the customer reference is only printed if referencing J has been selected. The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

If the safekeeping type or designation changes, a page break is always inserted if the safekeeping type, divergent security designation or denomination changes, whereupon the entire top of the page is reprinted on the following page.

3.4.2.3 Total current certificate list - certificate selection I - global certificate list type

Permanent global certificates

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Globalurkunden)

Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9            Nom-Sammel    : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Keine Stücke zur Urkunde hinterlegt

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.4: Total current certificate list I permanent global certificates

If no permanent global certificates are found for the request data, then this part of the total list is omitted without replacement. The vault line is only printed if a third-party vault is selected and the customer reference is only printed if referencing J has been selected.

Permanent global certificates are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed. If the safekeeping type or divergent security designation changes, a page break occurs and the entire list header is reprinted on the following page.

If the remaining lines on the current page are insufficient for printing the block with the certificate data (lines organisation/collective number, status, characteristic and deposit reason) and if the collective number is changed, then these lines are all reprinted on a new page. In this case, the continuation line is reprinted on the current page.The continuation line is also printed if a page change is required within the lowest group level, that is, if more denominations/certificate numbers exist for a permanent global certificate than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Rahmenurkunden)

Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9            Nom-Sammel    : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <STATUS-TEXT       > Rahmen-Nom     : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk         : ZZ9 <TEXT              > Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund   : ZZ9 <TEXT              > Nom-Offen      : ZZZ.ZZZ.ZZZ.ZZ9,999

     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <STATUS-TEXT       > Rahmen-Nom     : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk         : ZZ9 <TEXT              > Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund   : ZZ9 <TEXT              > Nom-Offen      : ZZZ.ZZZ.ZZZ.ZZ9,999

     Anzahl     Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <STATUS-TEXT       > Rahmen-Nom     : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk         : ZZ9 <TEXT              > Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund   : ZZ9 <TEXT              > Nom-Offen      : ZZZ.ZZZ.ZZZ.ZZ9,999

Keine Stücke zur Urkunde hinterlegt

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.5: Total current certificate list I global certificates (up-to)

If no global certificates (up-to) are found for the request data, then this part of the total list is omitted without replacement. The vault line is only printed if a third-party vault is selected and the customer reference is only printed if referencing J has been selected.

Global certificates (up-to) are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed. If the safekeeping type or divergent security designation changes, a page break occurs and the complete header is reprinted on the following page. If the safekeeping type/security designation stays the same, it must be ensured, if the page changes, that the break does not occur within the block with the certificate data (line organisation/collective number, status, characteristic and deposit reason), but that these lines are completely printed on a new page. In this case, the continuation line is reprinted on the current page. The continuation line is also printed if a page change is required within the lowest group level, that is, if there are more denominations/certificate numbers exist for a global certificate (up-to) than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

3.4.2.4 Total current certificate list - certificate selection O - individual certificate list type

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)
                  Oppositionen / Ersatzstücke
Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                         >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                                              >
<Stückenummern                                                              >

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                                              >
<Stückenummern                                                              >

Ersatzstücke:                                    Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Stückenummern
<Stückenummern                                                              >
<Stückenummern                                                              >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.6: Total current certificate list O individual certificates

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

In the event of a page change the same criteria apply as with certificate selection I.

3.4.2.5 Total current certificate list - certificate selection 0 - global certificate list type

Permanent global certificates

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Globalurkunden)
                  Oppositionen / Ersatzstücke
Tresor          : 9999 <Text                        >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <<Text Abweichende Bezeichnung                       >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                >
Bes-Stk         : ZZ9 <Text                                                >
Einlief-Grund   : ZZ9 <Text                                                >

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

Oppositionsgrund 99 <Text Oppositionsgrund
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                >
Bes-Stk         : ZZ9 <Text                                                >
Einlief-Grund   : ZZ9 <Text                                                >

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
     ANZAHL      STÜCKELUNG     STUECKENUMMERN
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

Ersatzstücke :                                   Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl         Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.7: Total current certificate list 0 permanent global certificates

This part of the list is only issued if permanent global certificates are found for the selection criteria which have blocked and/or replacement certificates.

In the event of a page change the same criteria apply as with certificate selection I.

Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Rahmenurkunden)
                  Oppositionen / Ersatzstücke
Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                  >
Bes-Stk         : ZZ9 <Text                                                  >
Einlief-Grund   : ZZ9 <Text                                                  >

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                               >

Ersatzstücke :                                   Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                               >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                  >
Bes-Stk         : ZZ9 <Text                                                  >
Einlief-Grund   : ZZ9 <Text                                                  >

Ersatzstücke :                                   Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                               >

   *** Ende der Liste ****
```

Figure 3.8: Total current certificate list 0 global certificates (up-to)

This part of the list is only issued if global certificates (up-to) are found for the selection criteria which have blocked and/or replacement certificates.

In the event of a page change the same criteria apply as with certificate selection I.

3.4.2.6 Total current certificate list - certificate selection M - individual document list type

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)
                  Mängel / Besonderheiten
Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                                             >
<Stückenummern                                                             >

Stückenummern Bogen
<Stückenummern                                                             >

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                                             >

Stückenummern Bogen
<Stückenummern                                                             >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                                             >
<Stückenummern                                                             >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.9: Total current certificate list M individual certificates

This part of the list is only issued if individual certificates with lacks or characteristics are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.

3.4.2.7 Total current certificate list - certificate selection M - global certificate list type

Permanent global certificates

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Globalurkunden)
                   Mängel / Besonderheiten
Tresor          : 9999 <Text                        >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                >
Bes-Stk         : ZZ9 <Text                                                >
Einlief-Grund   : ZZ9 <Text                                                >

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund
     Anzahl      Stückelung     Stückenummern Mantel
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

     Anzahl      Stückelung     Stückenummern Bogen
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                >
Bes-Stk         : ZZ9 <Text                                                >
Einlief-Grund   : ZZ9 <Text                                                >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.10: Total current certificate list M permanent global certificates

This part of the list is only issued if permanent global certificates with a lack or characteristic are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.

Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Rahmenurkunden)
                  Mängel / Besonderheiten
Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund
     Anzahl      Stückelung     Stückenummern Mantel
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

     Anzahl      Stückelung     Stückenummern Bogen
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl         Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

   *** Ende der Liste ****
```

Figure 3.11: Total current certificate list M global certificates (up-to)

This part of the list is only issued if global certificates (up-to) with a lack or characteristic are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.

3.4.2.8 Total current certificate list - certificate selection T - individual certificate list type

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

   Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)
                    Textinformationen
Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummer <Stückenummer                >
<Text zur Urkunde                                                  >
<Text zur Urkunde                                                  >
<Text zur Urkunde                                                  >

Stückenummer <Stückenummer                >
<Text zur Urkunde                                                  >
<Text zur Urkunde                                                  >

Stückenummer <Stückenummer                >
<Text zur Urkunde                                                  >
<Text zur Urkunde                                                  >
<Text zur Urkunde                                                  >
<Text zur Urkunde                                                  >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.12: Total current certificate list T individual certificates

This part of the list is only issued for individual certificates which correspond to the selection criteria and for which text information exists.

In the event of a page change the same criteria apply as with certificate selection I.

3.4.2.9 CSV file inventory list of positions for a security (vault segments 1/5)

It is possible to obtain an analysis of this list request in CSV file format via Fileservice /Internet Download Area.

The selection criteria must be specified as follows:

Selection criteria	
TRESOR-SEGM (VAULT SEGM)	1 or 5
BANK	Customer/outsourcer: Input not permitted
WKN	Required
HLG (Safekeeping type)	Optional
REFERENZIERT (J/N) (REFERENCED)	Y
STUCKEAUSWAHL (I,O,M,T) (CERTIFICATE SELECTION)	I
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT medium)	4
EMPFANGS-ABT (RECEIVING DEPT)	CBF: Required Customer/outsourcer: Input not permitted

The analysis for each list request of this type is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each customer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The issue is sorted according to safekeeping type, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

For individual certificates, the certificate numbers of working stock, block package and ice block package stock are applied to determine the numerical sum and quantity of certificates.

Global certificates without certificate numbers are displayed for global certificates. The fields STUECKELUNG (DENOMINATION) and ANZAHL URKUNDEN (NUMBER OF CERTIFICATES) are not displayed even if shares exist for a global certificate.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Identification occurs according to the entry in CARAD for RS securities.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

Name of the CSV file

The analysis “Inventarliste Uber -Bestand zu einer Gattung” (Inventory list of positions for a security) is included in the CBF file service in accordance with the other KCSL lists and made available on the internet for customers.

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by CBF contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR662351 for marking which list/analysis is present
4. L&lfd. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

Example: KS7999.01.KCSL.JR662351.L001.D100303.T154435.ADC

1. 2. 3. 4. 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

Data

The analysis of the positions for a certain security in the CBF vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
….
```

Figure 3.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following fields in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT);
- DRUCKDATUM (PRINT DATE);
- LFD-NR (CURRENT NUMBER);
- ISIN;
- WKN-BEZ (ISIN DESIGNATION);
- HLG (Safekeeping type);
- HLG-TEXT (Safekeeping type text).

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data.
- Recipient
  The field is numerical and contains 4 digits.
- Print date
  The field contains 10 characters in the format DD.MM.YYYY.
- The serial number for the list request
  The field contains 3 digits and is numerical.
- ISIN
  The field is alphanumerical and contains 12 characters.
- ISIN designation
  The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type
  The field contains two characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific safekeeping type during entry. Otherwise a SPACE is entered in the field.
- Safekeeping type text
  The field contains 35 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific safekeeping type during entry and one text exists for the specific safekeeping type. Otherwise a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- HLG (Safekeeping type);
- HLG-TEXT (Safekeeping type text);
- STUECKELUNG (DENOMINATION);
- SUMME NOMINALE (TOTAL NOMINALS);
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES);
- SAMMEL-NR (COLLECTIVE NUMBER);
- ORD-NR (NUMBER);
- NOMINALE SAMMEL (COLLECTIVE NOMINALS);
- RAHMEN-NOMINALE (UP-TO NOMINAL);
- NOMINALE-OFFEN (PENDING NOMINAL);
- NOMINALE-DISPOSITIV (NOMINAL anticipated);
- STATUS;
- STATUS-TEXT;
- EINLIEF-GRUND (DEPOSIT REASON);
- EINLIEF-GRUND-TEXT (DEPOSIT REASON TEXT).

The data lines contain the following data in the format and order described below:.

- D1 - Identifies this line as a data line for individual certificates.
  or D2 - Identifies this line as a data line for global certificates.
- Safekeeping type
  The field is numerical and contains 2 digits.
- Safekeeping type text
  The field is alphanumerical and contains 35 characters. If no safekeeping type text exists for the certificate, a SPACE is entered in the field.
- Denomination
  The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)
  The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number (per denomination)
  The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number
  The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Pending nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.

- Nominal anticipated
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status
  The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text
  The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.
- Deposit reason
  The field is numerical and contains 2 digits. If no global certificate exists, a SPACE is entered in the field.
- Deposit reason text
  The field is alphanumerical and contains 20 digits. If no deposit reason text exists for the certificate, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

Layout

The headlines and data lines described above for a CSV file result in the following layout:

```
U1;EMPFAENGER;DRUCKDATUM;LFD.NR;ISIN;WKN-BEZ;HLG;HLG-TEXT;
U2;20;24.11.2010;1;DE0008474040;DWS INTER-RENTA;;;
U3;HLG;HLG-TEXT;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT;EINLIEF-
GRUND;EINLIEF-GRUND-TEXT;
D2;1;GS;;;;230;121;18005824,931;800000000,000;781839883,069;154292,000;500;KONTROLLIE
RT;1;AUS EMISSION;
D1;1;GS;1,000;94414,000;94414;;;;;;;;;;
D1;1;GS;10,000;3321780,000;332178;;;;;;;;;;
D1;1;GS;100,000;29060500,000;290605;;;;;;;;;;
D1;1;GS;500,000;1343000,000;2686;;;;;;;;;;
D1;1;GS;1000,000;792000,000;792;;;;;;;;;;
D1;3;GS VORRATSL. BANK;1,000;220823,000;220823;;;;;;;;;;
D1;3;GS VORRATSL. BANK;10,000;760210,000;76021;;;;;;;;;;
D1;3;GS VORRATSL. BANK;100,000;10900200,000;109002;;;;;;;;;;
D1;3;GS VORRATSL. BANK;500,000;59533000,000;119066;;;;;;;;;;
D1;3;GS VORRATSL. BANK;1000,000;33258000,000;33258;;;;;;;;;;
```

Figure 3.2: Example CSV file: KCSL AG vault segment 1

3.4.2.10 CSV file inventory list for third-party safe custody positions (vault segment 2)

The following selection criteria must be selected for this:

Selection criteria	
TRESOR-SEGM (VAULT SEGM)	2
BANK	CBF: Required Customer/outsourcer: Input not permitted
WKN	Optional
HLG (Safekeeping TYPE)	Optional; only entry of 20, 21 and 22 allowed
REFERENZIERT (J/N) (REFERENCED)	Input not permitted
STUCKEAUSWAHL (I,O,M,T) (CERTIFICATE SELECTION)	I
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT medium)	4
EMPFANGS-ABT (RECEIVING DEPT)	CBF: Required Customer/outsourcer: Input not permitted

The analysis for each list request of this type is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each outsourcer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The issue is sorted according to security, safekeeping TYPE, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

Name of the CSV file

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR665351 for marking which list/analysis is present
4. L&lfd. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

Example: KS7999.01.KCSL.JR665351.L001.D100303.T154435.ADC

1. 2. 3. 4. 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

Data

The analysis of the positions for an outsourcer in the FTB vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
….
```

Figure 3.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT);
- DRUCKDATUM (PRINT DATE);
- LFD-NR (CURRENT NUMBER);
- BANK;
- BANK-NAME
- ISIN
- WKN-BEZ (ISIN DESIGNATION)
- HLG (Safekeeping type)
- HLG-TEXT (Safekeeping type text)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data
- Recipient
  The field is numerical and contains 4 digits.
- Print date
  The field contains 10 characters in the format DD.MM.YYYY.
- Current number
  The field contains 3 digits and is numerical.

- Bank number
  The field is numerical and contains 4 digits.
- BANK-NAME
  The field is alphanumerical and contains 30 characters. If no designation exists for a bank, a SPACE is entered in the field.
- ISIN
  The field contains 12 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific ISIN. Otherwise a SPACE is entered in the field.
- ISIN designation
  The field contains 35 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a ISIN during entry and one designation exists for the specific ISIN. Otherwise a SPACE is entered in the field.
- Safekeeping type
  The field is numerical and contains 2 digits.
- Safekeeping type text
  The field is alphanumerical and contains 35 characters. If no deposit type text exists for the certificate, a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- ISIN
- WKN-BEZ (ISIN DESIGNATION)
- HLG (Safekeeping type)
- HLG-TEXT (Safekeeping type text)
- STUECKELUNG (DENOMINATION)
- SUMME NOMINALE (TOTAL NOMINALS)
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE-OFFEN (PENDING NOMINAL)
- NOMINALE-DISPOSITIV (NOMINAL anticipated)
- STATUS
- STATUS-TEXT

The data lines contain the following data in the format and order described below:

- D1 - Identifies this line as a data line for individual certificates
  or D2 - Identifies this line as a data line for global certificates
- ISIN
  The field is alphanumerical and contains 12 characters.
- ISIN designation
  The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type
  The field is numerical and contains 2 digits.
- Safekeeping type text
  The field is alphanumerical and contains 35 characters. If no deposit type text exists for the certificate, a SPACE is entered in the field.

- Denomination
  The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)
  The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number
  The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number
  The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Pending nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Nominal anticipated
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status
  The field contains 3 digits and is numerical. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status text
  The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

Layout

The headlines and data lines described above for a CSV file result in the following layout:

```
U1;EMPFAENGER;DRUCKDATUM;LFD.NR;BANK;BANK-NAME;ISIN;WKN-BEZ;HLG;HLG-TEXT;
U2;20;25.11.2010;1;7201;CLEARSTREAM BANKING S.A.;;;20;SONDERVERWAHRUNG;
U3;ISIN;WKN-BEZ;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT;
D1;DE0003543047;BRAUNK.B.BESS.SCH.V.38/2;500,000;500,000;1;;;;;;;;;
D1;DE0003543047;BRAUNK.B.BESS.SCH.V.38/2;1000,000;2000,000;2;;;;;;;;;
D1;DE0003695011;JUNKERS B.SCH.V.1942;1000,000;6000,000;6;;;;;;;;;
D1;DE0005044051;AMMEND.PAP.I.L. BESS.SCH;25,000;25,000;1;;;;;;;;;
D1;DE0005226005;B U M BAUUNTERNEHMUNG ST;1,000;1,000;1;;;;;;;;;
D1;DE0005226005;B U M BAUUNTERNEHMUNG ST;2,000;10,000;5;;;;;;;;;
D1;DE0005226005;B U M BAUUNTERNEHMUNG ST;20,000;1200,000;60;;;;;;;;;
D1;DE0005226039;B U M BAUUNTERNEHMUNG VZO;20,000;120,000;6;;;;;;;;;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;451;180;20,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;452;181;20,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;453;161;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;454;162;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;455;163;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;456;164;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;457;165;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;458;166;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;459;167;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;460;168;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;461;169;50,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;462;151;100,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;463;152;100,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;464;153;100,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;465;154;100,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;466;155;100,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;467;4;200,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;468;51;500,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;469;52;500,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;470;53;500,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;471;54;500,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;472;55;500,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;473;56;500,000;;;;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;;;582;5;10010,000;;;;500;KONTROLLIERT;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;1,000;109500,000;109500;;;;;;;;;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;25,000;500,000;20;;;;;;;;;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;100,000;5000,000;50;;;;;;;;;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;60000,000;60000,000;1;;;;;;;;;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;6;5;100,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;7;6;14,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;8;7;22,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;9;8;20,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;12;12;3,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;16;14;11,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;17;13;24,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;18;18;32,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;19;17;50,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;20;19;45000,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;21;20;300,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;22;21;200,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;23;22;200,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;77;76;100,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;86;1;4,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;87;2;4,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;88;4;22,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;89;3;33,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;90;10;6,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;91;16;2,000;;;;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;;92;69;2,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;42;2;440,000;;;;500;KONTROLLIERT;
```

```
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;43;3;549,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;44;1;745,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;45;4;1500,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;46;36;475,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;47;35;616,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;48;34;757,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;49;33;887,000;;;;500;KONTROLLIERT;
DD2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;75;13;1500,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;76;14;1500,000;;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;;77;5;32400,000;;;;500;KONTROLLIERT;
D1;DE0006781271;4,5 % SPK.MITTELFRANK.IS.99;5000,000;35000,000;7;;;;;;;;;
D1;DE0007451809;TC SPEZIALPAPIERWERK;1,000;500,000;500;;;;;;;;;
D1;DE0007788200;WIRE INDUSTRIE- U. IMMOB.;1,000;10,000;10;;;;;;;;;
D1;DE0008018441;RESE-GRUNDBESITZ.99 TYP A;5000,000;5000,000;1;;;;;;;;;
D1;DE0008160912;RESE-GRUNDBESITZ 03 TYP C;1000,000;13000,000;13;;;;;;;;;
```

Figure 3.2: Example CSV file: KCSL AG vault segment 2

3.4.2.11 CSV file inventory list of FTB positions for an outsourcer (vault segment 3)

The following selection criteria must be selected for this:

Selection criteria	
TRESOR-SEGM (VAULT SEGM)	3
BANK	CBF: Required Customer/outsourcer: Input not permitted
WKN	Optional
HLG (SAFEKEEPING TYPE)	Optional; input not equal to 30 not allowed
REFERENZIERT (J/N) (REFERENCED (Y/N)	J
STUCKEAUSWAHL (CERTIFICATE SELECTION) (I,O,M,T)	I
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT medium)	4
EMPFANGS-ABT (RECEIVING DEPARTM)	CBF: Required Customer/outsourcer: Input not permitted

The analysis for each list request of this type is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each outsourcer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

For this, the customer references for third-party vault positions, that is, for an outsourcer, are issued in alphabetical order. The issue is sorted according to security, deposit type, denominations in a deposit type for one customer reference and collective numbers in a deposit type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

Name of the CSV file

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR663351 for marking which list/analysis is present
4. L&lfd. Nummerfor differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

Example: KS7999.01.KCSL.JR663351.L001.D100303.T154435.ADC

1. 2. 3. 4. 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

Data

The analysis of the positions for an outsourcer in the FTB vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
….
```

Figure 3.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT)
- DRUCKDATUM (PRINT DATE)
- LFD-NR (CURRENT NUMBER)
- BANK
- BANK-NAME
- ISIN
- WKN-BEZ (ISIN DESIGNATION)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data.
- Recipient
  The field is numerical and contains 4 digits.
- Print date
  The field contains 10 characters in the format DD.MM.YYYY.
- Current number
  The field contains 3 digits and is numerical.
- Bank number
  The field is numerical and contains 4 digits.

- BANK-NAME
  The field is alphanumerical and contains 30 characters. If no designation exists for a bank, a SPACE is entered in the field.
- ISIN
  The field contains 12 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific ISIN. Otherwise a SPACE is entered in the field.
- ISIN designation
  The field contains 35 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a ISIN during entry and one designation exists for the specific ISIN. Otherwise a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- KREF-SOND-KZ-ALPHA (CUSTOMER REF - SPECIAL CODE ALPHA)
- KREF-DRITTBK-GIT (CUSTOMER REFERENCE - THIRD-PARTY BANK - GIT)
- KREF-DRITTBK (CUSTOMER REFERENCE - THIRD-PARTY BANK)
- KREF-KUNDE-GIT (CUSTOMER REFERENCE - CUSTOMER - GIT)
- KREF CUSTOMER (CUSTOMER REFERENCE - CUSTOMER)
- ISIN
- WKN-BEZ (ISIN DESIGNATION)
- STUECKELUNG (DENOMINATION)
- SUMME NOMINALE (TOTAL NOMINALS)
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE OFFEN (PENDING NOMINAL)
- NOMINALE DISPOSITIV (NOMINAL anticipated)
- STATUS
- STATUS-TEXT

The data lines contain the following data in the format and order described below:

- D1 - Identifies this line as a data line for individual certificates.
  or D2 - Identifies this line as a data line for global certificates.
- Customer reference - code alpha
  The field is alphabetical and contains one character.
- Customer reference - third-party bank - GIT
  The field is alphanumerical and contains 3 characters.
- Customer reference - third-party bank
  The field is alphanumerical and contains 15 characters.
- Customer reference - customer - GIT
  The field is alphanumerical and contains 3 characters.
- Customer reference - customer
  The field is alphanumerical and contains 15 characters.
- ISIN
  The field is alphanumerical and contains 12 characters.

- ISIN designation
  The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Denomination
  The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)
  The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number
  The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number
  The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Pending nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Nominal anticipated
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status
  The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text
  The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

Layout

The headlines and data lines described above for a CSV file result in the following layout:

```
U1;EMPFAENGER;DRUCKDATUM;LFD.NR;BANK;BANK-NAME;ISIN;WKN-BEZ;HLG;HLG-TEXT;
U2;20;24.11.2010;3;2126;CORTAL CONSORS SA;;;30;FREMDTRESOR;
U3;KREF-SOND-KZ;KREF-DRITTBK-GIT;KREF-DRITTBK;KREF-KUNDE-GIT;KREF-KUNDE;ISIN;WKN-
BEZ;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT;
D2;E;   ;2126           ;   ;938999063      ;DE0007933798;BOERSE DUESSELD. NA
O.N.;;;;6;2;33117,000;;;;500;KONTROLLIERT;;;
D1;F;   ;2126           ;   ;0728198160     ;DE0005226005;B U M BAUUNTERNEHMUNG
ST;20,000;20,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;308001536      ;DE0007000002;MAB VERMOEGENSVER-
WE.AG;1,000;4,000;4;;;;;;;;;;
D1;F;   ;2126           ;   ;708145432      ;DE0006200504;VEDES
AG;1,000;100,000;100;;;;;;;;;;
D1;F;   ;2126           ;   ;708294620
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;200,000;20;;;;;;;;;;
D1;F;   ;2126           ;   ;708359723      ;DE000A0S8660;AVECO HOLDING AG
NA;1,000;3,000;3;;;;;;;;;;
D1;F;   ;2126           ;   ;708359723      ;DE0005017107;AG BUERGERHEIM
NAM.AKT.;1,000;2,000;2;;;;;;;;;;
D1;F;   ;2126           ;   ;708359723      ;DE0005027809;AG KUNSTMUEHLE AICHACH-
ST;1,000;2,000;2;;;;;;;;;;
D1;F;   ;2126           ;   ;708359723      ;DE0005030506;ERMS-NECKAR-BAHN EIS.
AG;1,000;10,000;10;;;;;;;;;;
D1;F;   ;2126           ;   ;708359723      ;DE0005065502;ARTWARE AG
O.N.;1,000;10,000;10;;;;;;;;;;
D2;F;   ;2126           ;   ;778861818      ;DE0007488801;LINDENMAIER
AG;;;;6;3;5,000;;;;500;KONTROLLIERT;;;
D2;F;   ;2126           ;   ;778861818      ;DE0007488801;LINDENMAIER
AG;;;;7;4;11,000;;;;500;KONTROLLIERT;;;
D1;F;   ;2126           ;   ;788398429
;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;788563027      ;DE0005493589;RWG
O.N.;500,000;2500,000;5;;;;;;;;;;
D1;F;   ;2126           ;   ;798066064      ;DE0007450702;FRISIA-BET.U.HANDELS
AG;1,000;10,000;10;;;;;;;;;;
D1;F;   ;2126           ;   ;798322320      ;DE0006200504;VEDES
AG;1,000;10,000;10;;;;;;;;;;
D1;F;   ;2126           ;   ;798592466      ;DE0008288333;REED.H.EKKENGA PASSA.
VZO;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;798592466      ;DE0008303264;TEUTOBG.WALD EI-
SENB.LIT.B;1,000;2,000;2;;;;;;;;;;
D1;F;   ;2126           ;   ;798627276      ;DE0007254807;AVF ENERGIE + CONSULT.
AG;25,000;100,000;4;;;;;;;;;;
D1;F;   ;2126           ;   ;798627276      ;DE0007254807;AVF ENERGIE + CONSULT.
AG;250,000;250,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;798650834
;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;798838175
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;1,000;94,000;94;;;;;;;;;;
D1;F;   ;2126           ;   ;798838175
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;350,000;35;;;;;;;;;;
D1;F;   ;2126           ;   ;808227580
;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;808307716
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;1,000;10,000;10;;;;;;;;;;
D1;F;   ;2126           ;   ;808307716
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;90,000;9;;;;;;;;;;
D1;F;   ;2126           ;   ;808345857      ;DE0007048019;A.RIEBECKSCHE MONTAN
I.L.;200,000;400,000;2;;;;;;;;;;
D1;F;   ;2126           ;   ;808345857      ;DE0007048019;A.RIEBECKSCHE MONTAN
I.L.;1000,000;3000,000;3;;;;;;;;;;
```

```
D1;F;   ;2126           ;   ;808493390
;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;808523167      ;DE0008277807;KUR-
U.VERK.BETR.OBERSTDF.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;808543721      ;DE0007203002;BETA SYSTEMS COMP.AG
I.K.;1,000;20,000;20;;;;;;;;;;
D1;F;   ;2126           ;   ;808543721      ;DE0007203002;BETA SYSTEMS COMP.AG
I.K.;10,000;70,000;7;;;;;;;;;;
D1;F;   ;2126           ;   ;908041312
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;1,000;10,000;10;;;;;;;;;;
D1;F;   ;2126           ;   ;908041312
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;60,000;6;;;;;;;;;;
D1;F;   ;2126           ;   ;908107407      ;DE0008288333;REED.H.EKKENGA PASSA.
VZO;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908107407      ;DE0008303264;TEUTOBG.WALD EI-
SENB.LIT.B;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908119945
;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908178292      ;DE0007048019;A.RIEBECKSCHE MONTAN
I.L.;200,000;400,000;2;;;;;;;;;;
D1;F;   ;2126           ;   ;908287657      ;DE0007638009;VFS VERMOEGENS-
VERW.AG;1,000;1,000;1;;;;;;;;;;
D2;F;   ;2126           ;   ;908458778      ;DE0007666158;BERLINA AG
F.ANL.WERTE;;;;6;4;239,000;;;;500;KONTROLLIERT;;;
D1;F;   ;2126           ;   ;908463282      ;DE0005755094;FAHLBERG-LIST
AG;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908466746      ;DE0005170203;BAUM.-HANDELSG.AG
O.N.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467288      ;DE0005017305;AG BAD NEUENAHR -NA-
O.N.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467288      ;DE0005154504;BAD.GAS
U.EL.VERS.AG;100,000;100,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467288      ;DE0005170203;BAUM.-HANDELSG.AG
O.N.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467288
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;10,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467288      ;DE0008277807;KUR-
U.VERK.BETR.OBERSTDF.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467587
;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467587      ;DE0005170203;BAUM.-HANDELSG.AG
O.N.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908467587      ;DE0008277807;KUR-
U.VERK.BETR.OBERSTDF.;1,000;1,000;1;;;;;;;;;;
D1;F;   ;2126           ;   ;908468995      ;DE0005017305;AG BAD NEUENAHR -NA-
O.N.;1,000;1,000;1;;;;;;;;;;
```

Figure 3.2: Example CSV file: KCSL AG vault segment 3

3.5 List request certificate number index - individual certificates (AE)

3.5.1 General description

In order to offer all requests in a batch selection, the block package list was configured to accommodate for this transaction through the implementation of the insourcing release 3, where it is available as the function LB.

The functions AH, AE, AS, AB and BV were consolidated in one function "Aktuelle Einzelliste" (Current individual list) (AE). The following table shows which entries for the new AE function replace the old functions:

Old function	List content	URKUNDENART (CERTIFICATE TYPE)	BESTAND EU AUS (POSITIONS EU FROM)	BLOCK-UBERGREIFEND (BLOCK COMPREHENSIVE)
AH	Arithmetised or non-arithmetised list of all individual certificates (not including block package stock)	E	H	-
AE	See AH	-	-	-
AS	List of all global certificates without certificate numbers Global certificates with certificate numbers will be listed in the future	S	-	-
AB	Arithmetised list of all individual certificates from the block stock across the whole block.	E	B	J
BV	Arithmetised or non-arithmetised list of all individual certificates from the block package stock separated according to blocks	E	B	N

The following selection options are available in this respect:

Certificate Selection	Characteristics:	I	Inventory list
		O	Stop order and characteristic list
		M	Lack and replacement list
Certificate type	Characteristics:	E	Individual certificate
		S	Global certificate
Positions EU from	Characteristics:	G	Total (working + block package stock)
		H	Working stock
		B	Block package stock
Block No. from to	Restriction of block package stock to an interval		
Block type	Characteristics:	B	Block package stock
		E	Ice block package stock
Across the whole block	Characteristics:	J	Certificate numbers of the block package stock sorted across the whole block
		N	Certificate numbers of the block package stock are issued grouped according to block
Arithmetised	Characteristics:	J	Issued sorted by certificate numbers
		N	Issued sorted according to filing order

These list requests only consider positions.

When entering the selection screen, customers are advised that they should print a hardcopy before confirming a list request as there is no possibility of viewing the submitted request online.

3.5.2 Selection screen

A list of all certificate numbers in the working stock can be generated with this function. The arithmetisation only occurs on the printout, not in CARAD.

```
TRAN: KCSL FC: AE SB:

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H
                          Aktuelle Einzelliste




WKN             : I
Stückelung      : __ ____________________

HLG-Art         : __                        Bestand EU aus    : _ (G/H/B)
Stückeauswahl   : _ (I/O/M)                 Blockart          : _ (B/E)
Arithmetisiert :   (J/N)                    Blockübergreifend:   (J/N)
Urkundenart     : _ (E/S)                   Block-Nr. von     : ______ bis: ______



Druck-Datum     : 26.09.2007
Ausgabemedium   : 03 INTERNET
Empfangs-Abt.   : __
-- ID-KZ: 7907232003 -- PW:          ------ B7907495 -- 26/09/07 -- 12:35:30 --
KC0003F Bitte hell angezeigtes, leeres Feld ergänzen
PF1:Hilfe  PF3:Verarbeitung  PF4:Abbruch
```

Figure 3.1: Individual list selection screen

In general, only positions from the CBF vault can be accessed here.

An institution responsible for issuing certificates and/or paying agent can request arithmetised individual lists as an inventory, stop order or lack list for all positions depending on the certificate selection with this function. Selection criteria for the block package stock can only be entered by CBF internal users. For this reason, the right block of the selection criteria is only displayed on the screen with a CBF user ID.

These requests must be restricted to a security and individual or global certificates and can be restricted to one safekeeping type. The date for list generation must be specified and can be up to 250 business days in the future.

Depending on the certificate selection, individual lists of the working and/or block package stock and lists for positions in the safekeeping types depository safe custody and inhouse safe custody are also available for the CBF internal users as an inventory, blocked or lack list depending on the certificate selection. These analyses can be restricted to positions, a block number interval and block type.

The table below provides a restriction of the combination of selection options.

Selection options:

Selection criteria	Clearstream Banking	Bank
KENNUNG ZUR WKN	Required if ISIN is entered only B,C,I,F,W allowed	Required if ISIN is entered only B,C,I,F,W allowed
WKN	Required if block NUMBER FROM not entered, otherwise optional	Required
HLG-ART (SAFEKEEPING TYPE)	Optional Entry 30 (FTB) not allowed	Optional Entry 30 (FTB) not allowed Safekeeping type 20 (depository) and 21 (internal collective safe custody) only allowed for
STÜCKELUNG (DENOMINATION)	OPTIONAL, if certificate type = S, no entry allowed	OPTIONAL, if certificate type = S, no entry allowed
STÜCKEAUSWAHL (CERTIFICATE SELECTION)	REQUIRED	REQUIRED
ARITHMETISIERT (ARITHMETISED)	REQUIRED If BESTAND EU AUS = "G", only "J" is allowed	Input not permitted
URKUNDENART (CERTIFICATE TYPE)	REQUIRED	REQUIRED
BESTAND EU AUS (POSITIONS EU FROM)	If certificate type = E, REQUIRED If certificate type = S, not allowed	Input not permitted
BLOCK NR VON BIS (BLOCK NO. FROM TO)	Entry only allowed if BESTAND EU AUS = "B" Required if ISIN is not entered otherwise optional	Input not permitted
BLOCKUBERGREIFEND (ACROSS THE WHOLE BLOCK)	Entry only allowed if BESTAND EU AUS = "B"	Input not permitted
BLOCKART (BLOCK TYPE)	Entry only allowed if BESTAND EU AUS = "B"	Input not permitted
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Constant preset to internet	Constant preset to internet
EMPFANGS-ABT (RECEIVING DEPT.)	REQUIRED	Input not permitted

3.5.3 Help screen

Pushing the PF1 key provides the editor with a list of entries on the following help screen that can be used to request the individual lists:

```
TRAN: KCSL FC: AE SB:

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H
                           Aktuelle Einzelliste

Einzelurkunde Gesamtbestand -> Urkundenart      : E
                               Bestand EU aus   : G
Sammelurkunde Gesamtbestand -> Urkundenart      : S

Einzelurkunde Handbestand   -> Urkundenart      : E
                               Bestand EU aus   : H
Einzelurkunde Blockbestand  -> Urkundenart      : E
                               Bestand EU aus   : B
                               Blockübergreifend: J
Blockverzeichnis            -> Urkundenart      : E
                               Bestand EU aus   : B
                               Blockübergreifend: N

== über Stückeauswahl als Inventarliste (I), Oppoliste (O) oder
== Mangelliste (M) anzufordern

-- ID-KZ: 7907232003 -- PW:          ------ B7907495 -- 26/09/07 -- 12:35:47 --

PF3:Rücksprung
```

Figure 3.2: Individual list help screen

As different list variants are available via the AE function, this help screen can provide help for new users.

3.5.4 List layout

3.5.4.1 Cover page

The cover page is identical for all lists that are requested via KCSL AE.

```
CLEARSTREAM BANKING AG, FRANKFURT            DATUM       :    TT.MM.JHJJ
POSTFACH                                     SEITE       :          ZZZ9
60485 FRANKFURT AM MAIN

   Aktuelle Einzelliste

   NAME         : XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
                  XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
   NAMENSZUSATZ: XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
   STRASSE      : XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
   PLZ/POSTFACH: ZZZZZZZZZZZZZ9
   LAND/PLZ/ORT: X  99999 XXXXXXXXXXXXXXXXXXXX

   Angefordert von USER-ID 9999999999 am TT.MM.JHJJ


   Anforderungsdaten

   WKN              : I XXXXXXXXXX9  <WKN-Bezeichnung                    >
   HLG-Art           : 99 < HLG-Text         >
   Stückeauswahl     : X  <AUSWAHL-TEXT                      >
   Urkundenart       : X
   Bestand EU aus    : X
   Block-Nr von      : X
   Blockart          :
   Blockübergreifend : X
   Arithmetisiert    : X
   Druck-   Datum       : TT.MM.JHJJ
   Ausgabemedium     : X  <AUSGABE-TEXT>
   Empfangs-Abt.     : 99 <EMPFANGS-ABT-TEXT
```

Figure 3.3: Cover page list from the list request working stock KCSL AE

The data for the list request appears on the cover page. This address is only printed if a customer requests the list. If CBF requests this, this part of the cover page remains blank.

In the event of request data, only the fields with entries/presets are printed.

The page numbering is continuous for all list types that exist for a request.

3.5.4.2 Current individual list - certificate selection I - global certificate list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STUCKEAUSWAHL (CERTIFICATE SELECTION) = "I" and URKUNDENART (CERTIFICATE TYPE) = "S".

The data can be restricted for a certain safekeeping type. CBF internal users are able to print the individual certificate numbers for the respective global certificate in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The inventory list contains global certificates both with and without certificate numbers. The status of the certificate is not considered in the process, that is, certificates with incomplete entries are also issued. However, assigned global certificates are not on the list.

Permanent global certificates and global certificates (up-to) are issued on separate lists. The layout of the lists are guided by the complete lists, which can be generated under AG.

Permanent global certificates

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

            Aktuelle Einzelliste - Sammelurkunden (Globalurkunden)

WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9            Nom-Sammel   : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Keine Stücke zur Urkunde hinterlegt

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

*** Textinformationen zu Urkunden vorhanden ***
```

Figure 3.4: Individual list I permanent global certificate

If no permanent global certificates are found for the request data, then this part of the global certificate list is omitted without replacement.

Permanent global certificates are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed.

If the safekeeping type or divergent security designation changes, a page break occurs and the entire list header is reprinted on the following page.

If the remaining lines on the current page are insufficient for printing the block with the certificate data (lines organisation/collective number, status, characteristic and deposit reason) if the collective number is changed, then these lines are all printed on a new page. In this case, the continuation line is reprinted on the current page.

The continuation line is also printed if a page change is required within the lowest group level, that is, if more denominations/certificate numbers exist for a permanent global certificate than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

           Aktuelle Einzelliste - Sammelurkunde (Rahmenurkunden)

WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <STATUS-TEXT       > Rahmen-Nom     : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk         : ZZ9 <TEXT              > Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund   : ZZ9 <TEXT              > Nom-Offen      : ZZZ.ZZZ.ZZZ.ZZ9,999

     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <STATUS-TEXT       > Rahmen-Nom     : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk         : ZZ9 <TEXT              > Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund   : ZZ9 <TEXT              > Nom-Offen      : ZZZ.ZZZ.ZZZ.ZZ9,999

     Anzahl     Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern                                  >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern                                  >
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern                                  >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9          Nom-Sammel     : ZZZ.ZZZ.ZZZ.ZZ9,999
Status          : 999 <STATUS-TEXT       > Rahmen-Nom     : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk         : ZZ9 <TEXT              > Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund   : ZZ9 <TEXT              > Nom-Offen      : ZZZ.ZZZ.ZZZ.ZZ9,999

Keine Stücke zur Urkunde hinterlegt

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.5: Individual list I global certificate (up-to)

If no global certificates (up-to) are found for the request data, then this part of the individual list for global certificates is omitted without replacement. If neither permanent global certificates nor global certificates (up-to) are found, then a corresponding negative report is issued for the list request.

Global certificates (up-to) are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed.

If the safekeeping type or divergent security designation changes, a page break occurs and the complete header is reprinted on the following page.

If the safekeeping type/security designation stays the same, it must be ensured if the page changes that the break does not occur within the block with the certificate data (line organisation/collective number, status, characteristic and deposit reason), but that these lines are completely printed on a new page. In this case, the continuation line is reprinted on the current page.

The continuation line is also printed if a page change is required within the lowest group level, that is, if more denominations/certificate numbers exist for a global certificate (up-to) than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

3.5.4.3 Current individual list - certificate selection I - individual certificates from all positions list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = “I “, BESTAND EU AUS (POSITIONS EU FROM) = “G” and URKUNDENART (CERTIFICATE TYPE) = “E”. The data can be restricted for a certain safekeeping type and/or denomination. The individual certificates are only printed in an arithmetised state.

All individual certificates which exist in the working or block package stock including ice block package stock are issued comprehensively in arithmetised form in this inventory list. Individual certificates which are still allocated to a deposit or have already been allocated to a withdrawal, are not considered.

The certificates can be restricted to block package stock and/or ice block package stock and a specific block number interval.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

           Aktuelle Einzelliste -  Einzelurkunden (Gesamtbestand)

WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale        : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >

   *** Opposition zu Urkunden vorhanden ***
```

Figure 3.6: Individual list I individual certificate all positions list

If neither individual certificates nor block package stock and/or ice block package stock exist for the request data, a negative message is generated for this list request.

The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

If the safekeeping type or designation changes, a page break is always inserted if the safekeeping type, divergent security designation or denomination changes, whereupon the entire top of the page is reprinted on the following page.

3.5.4.4 Current individual list - certificate selection I - individual certificates from block package stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I ", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "J".

The data can be restricted for a certain WKN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block number interval. In addition, CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all individual certificates which exist in the block package stock including ice block package are issued.

Working stock and certificates in deposits or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

               Aktuelle Einzelliste - Einzelurkunden (Blockbestand)

WKN              : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                   W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >

Stückelung       : ZZZ.ZZZ.ZZZ.ZZ9,999              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale         : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >

   *** Fortsetzung Seite ZZZ9 ***
```

Figure 3.7: Individual list I individual certificate block package stock list

If no data exists for the selection criteria, a negative list is issued for this list request.

The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

A page break is always inserted if the safekeeping type or denomination changes, whereupon the entire top of the page is reprinted on the following page.

If blocked or lack certificates exist in block package stock, then the individual lists for this certificate selection are automatically issued as an appendix. Individual requests for a stop order list and lack list are still possible. The layout for these lists is described in the corresponding chapter.

3.5.4.5 Current individual list - certificate selection I - individual certificates from working stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I", BESTAND EU AUS (POSITIONS EU FROM) = "H" and URKUNDENART (CERTIFICATE TYPE) = "E".

The data can be restricted for a certain WKN, safekeeping type and/or denomination. CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all individual certificates that exist in working stock are issued. Certificates from deposit or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

              Aktuelle Einzelliste - Einzelurkunden (Handbestand)

Tresor          : 9999 <Text                          >
Kundenreferenz  : X XXX - XXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXX
WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999              Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale        : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >
<Stückenummern                                                               >

   *** Fortsetzung Seite ZZZ9 ***
```

Figure 3.8: Individual list I individual certificate working stock

If no certificates exist for the selection criteria in the working stock, a negative list is issued for this list request.

The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

If the safekeeping type or designation changes, a page break is always inserted if the safekeeping type, divergent security designation or denomination changes, whereupon the entire top of the page is reprinted on the following page

3.5.4.6 Current individual list - certificate selection I - block index list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I ", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "J".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual blocks in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The individual blocks with block information and the corresponding certificate numbers appear on the list.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

   Aktuelle Einzelliste - Blockverzeichnis

   BLOCK-NR        :99999                          KZ-BLOCKART: <BLOCKART-TEXT>

   WKN: I XXXXXXXXXXX9 <WKN-Bezeichnung                              >
        W XXXXX9
   STÜCKELUNG      : XX ZZZ.ZZZ.ZZ9,999        ANZAHL URKUNDEN: ZZZ.ZZZ.ZZ9
   HINTERLEGUNGSART: 99 <HLG-TEXT             >
   NAECHSTER-KUPON :  999 TT.MM.JHJJ             LETZTER-KUPON: 999 TT.MM.JHJJ
   ARITHMETISIERUNG: X
   KZ-KV-INTERN    : X <KZ-KV-INTERN-TEXT>
   WKN-EX          : XXXXXXXXXXX
   SERIEN-WKN      : XXXXXXXXXXX     ANZAHL OPT.SCHEINE/KUPONS: 999999

                     Mantel                      Bogen
   SCHRANK         : <Schrank-Text>              <Schrank-Text>
   FACH            : <Fach-Text>                 <Fach-Text>
   ERFASSUNG       : 9999999999  TT.MM.JHJJ      9999999999  TT.MM.JHJJ
   AENDERUNG       : 9999999999  TT.MM.JHJJ      9999999999  TT.MM.JHJJ
   KONTROLLE       : 9999999999  TT.MM.JHJJ      9999999999  TT.MM.JHJJ
   STATUS          : XXXXXXXXXXX                 XXXXXXXXXXX
    KZ-MERKMAL      : X                           X

   S T U E C K E N U M M E R N

   <STUECKENUMMERN                                                        >
   <STUECKENUMMERN                                                        >
   <STUECKENUMMERN                                                        >
   <STUECKENUMMERN                                                        >

   *** Fortsetzung Seite ZZZ9 ***
```

Figure 3.9: Individual list I block package stock

If no blocks are found for the request, a corresponding negative message is issued.

The continuation line is only printed if a new page is required within the lowest group level, that is, if even more blocks are found for the requested criteria. In this case, only the block number is repeated on the following page except for the first three lines.

A page break is always inserted if the block changes, whereupon the entire top of the page is reprinted on the following page.

3.5.4.7 Current individual list - certificate selection 0 - global certificate list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0" and URKUNDENART (CERTIFICATE TYPE) = "S".

The data can be restricted for a certain safekeeping type. CBF internal users are able to print the individual certificate numbers for the respective global certificate in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The status of the certificate is not considered in the process, that is, certificates with incomplete entries are also issued. Only the global certificates with a stop order are printed in this list. As a stop order is only reported via certificate numbers, any global certificates without certificate numbers cannot be displayed in this list.

Permanent global certificates and global certificates (up-to) are issued on separate lists. The layout of the lists are guided by the complete lists, which can be generated under AG.

Permanent global certificates

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

          Aktuelle Einzelliste - Sammelurkunden (Globalurkunden)
                   Oppositionen / Ersatzstücke


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <<Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Oppositionsstücke :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Oppositionsgrund 99 <Text Oppositionsgrund
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Oppositionsstücke :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
     ANZAHL      STÜCKELUNG     STUECKENUMMERN
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ersatzstücke :                                     Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl         Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.10: Individual list O permanent global certificate

This part of the list is only issued if permanent global certificates are found for the selection criteria which have blocked and/or replacement certificates.

In the event of a page change the same criteria apply as with certificate selection I.

Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

        Stückeliste Auswahl aktuell - Sammelurkunden (Rahmenurkunden)
                    Oppositionen / Ersatzstücke


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                  >
Bes-Stk         : ZZ9 <Text                                                  >
Einlief-Grund   : ZZ9 <Text                                                  >

Oppositionsstücke :                                 Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                               >

Ersatzstücke :                                      Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                               >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                  >
Bes-Stk         : ZZ9 <Text                                                  >
Einlief-Grund   : ZZ9 <Text                                                  >

Ersatzstücke :                                      Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                               >

   *** Fortsetzung Seite ZZZ9 ***
```

Figure 3.11: Individual list O global certificate (up-to)

This part of the list is only issued if global certificates (up-to) are found for the selection criteria which have blocked and/or replacement certificates.

If no global certificates with blocked certificates or replacement certificates were found then this list type is omitted and not replaced insofar as permanent global certificates existed with these criteria. Otherwise, a negative message is issued for this list request.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.8 Current individual list - certificate selection O - individual certificates from all positions list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "O ", BESTAND EU AUS (POSITIONS EU FROM) = "G" and URKUNDENART (CERTIFICATE TYPE) = "E". The data can be restricted for a certain safekeeping type and/or denomination. The individual certificates are only printed in an arithmetised state.

Only the individual certificates from working or block package stock (including ice block package stock) with a stop order are printed in this list. Certificates from deposits and withdrawals are not considered here.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

           Aktuelle Einzelliste - Einzelurkunden (Gesamtbestand)
                   Oppositionen / Ersatzstücke


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                                              >
<Stückenummern                                                              >

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                                              >
<Stückenummern                                                              >

Ersatzstücke:                                    Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Stückenummern
<Stückenummern                                                              >
<Stückenummern                                                              >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.12: Individual list O individual certificate all positions list

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

If no individual certificates with a stop order are found then a negative message is issued for this list request.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.9 Current individual list - certificate selection 0 - individual certificates from block package stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0",BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "N".

The data can be restricted for a certain WKN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all stop order and/or replacement certificates which exist in the block package stock including ice block package are issued.

Working stock and certificates in deposits or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

          Aktuelle Einzelliste - Einzelurkunden (Blockbestand)
                  Oppositionen / Ersatzstücke


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                 > Block-Nr: 999999
<Stückenummern                                 > Block-Nr: 999999

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                 > Block-Nr: 999999
<Stückenummern                                 >

Ersatzstücke:                                    Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Stückenummern
<Stückenummern                                 > Block-Nr: 999999
<Stückenummern                                 > Block-Nr: 999999

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.13: Individual list 0 individual certificate block package stock list

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

If no certificates are found for this request then a negative message is printed.

In the event of a page change the same criteria apply as with a certificate selection.

The certificate numbers for a block reason or for the replacement certificates are assigned to a block. This information only appears if the block number changes.

3.5.4.10 Current individual list - certificate selection O - individual certificates from all working stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "O", BESTAND EU AUS (POSITIONS EU FROM) = "H" and URKUNDENART (CERTIFICATE TYPE) = "E".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all stop order and replacement certificates that exist in working stock are issued. Certificates from deposit or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

           Aktuelle Einzelliste - Einzelurkunden (Blockbestand)
                   Oppositionen / Ersatzstücke


WKN             : I XXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                       >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                                             >
<Stückenummern                                                             >

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                                             >
<Stückenummern                                                             >

Ersatzstücke:                                    Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Stückenummern
<Stückenummern                                                             >
<Stückenummern                                                             >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.14: Individual list O individual certificate working stock

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

If no certificates with these selection criteria were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.11 Current individual list - certificate selection O - block package index list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "O", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "J".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual blocks in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only blocks and block information with the certificate numbers with a stop order or marked as a replacement certificate appear in the list.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

   Blockverzeichnis aktuell

   BLOCK-NR        :99999  KZ-BLOCKART: <BLOCKART-TEXT>

   WKN: I XXXXXXXXXXX9 <WKN-Bezeichnung                            >
        W XXXXX9
   STÜCKELUNG      : XX ZZZ.ZZZ.ZZ9,999        ANZAHL URKUNDEN: ZZZ.ZZZ.ZZ9
   HINTERLEGUNGSART: X 99 <HLG-TEXT             >
   SCHRANK         : <SCHRANK-TEXT     > FACH: <FACH-TEXT>
   NAECHSTER-KUPON :  999 TT.MM.JHJJ     LETZTER-KUPON: 999 TT.MM.JHJJ
   ARITHMETISIERUNG: X
   KZ-KV-INTERN    : X <KZ-KV-INTERN-TEXT>
   WKN-EX          : XXXXX9
   SERIEN-WKN      : XXXXX9            ANZAHL OPT.SCHEINE/KUPONS:
   ERFASSUNG       : 9999999999  TT.MM.JHJJ
   AENDERUNG       : 9999999999  TT.MM.JHJJ
   KONTROLLE       : 9999999999  TT.MM.JHJJ
   STATUS          : XXXXXXXXXXX      KZ-MERKMAL: X

   Oppositionsstücke :                              Anzahl Urkunden: ZZZ.ZZZ.ZZ9

   Oppositionsgrund 99 <Text Oppositionsgrund
    Stückenummern                                                          >
    <Stückenummern                                                         >

   Ersatzstücke:                                    Anzahl Urkunden: ZZZ.ZZZ.ZZ9

   Stückenummern
   <Stückenummern                                                        >
   <Stückenummern

   *** Fortsetzung Seite ZZZ9 ***
```

Figure 3.15: Individual list O block package stock

If no blocks with these selection criteria were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.12 Current individual list - certificate selection M - global certificates list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M" and URKUNDENART (CERTIFICATE TYPE) = "S".

The data can be restricted for a certain safekeeping type. CBF internal users are able to print the individual certificate numbers for the respective global certificate in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The status of the certificate is not considered in the process, that is, certificates with incomplete entries are also issued. Only the global certificates with a lack or which have a characteristic are printed in this list. Assigned global certificates are not considered in the process.

Permanent global certificates

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

       Aktuelle Einzelliste - Sammelurkunden (Globalurkunden)
                   Mängel / Besonderheiten


WKN              : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                   W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr    : ZZZZZ9 / ZZZZZ9
Status           : 999 <Text                                                >
Bes-Stk          : ZZ9 <Text                                                >
Einlief-Grund    : ZZ9 <Text                                                >

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund
     Anzahl      Stückelung     Stückenummern Mantel
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

     Anzahl      Stückelung     Stückenummern Bogen
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

Ord/Sammel-Nr    : ZZZZZ9 / ZZZZZ9
Status           : 999 <Text                                                >
Bes-Stk          : ZZ9 <Text                                                >
Einlief-Grund    : ZZ9 <Text                                                >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl      Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                             >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.16: Individual list M permanent global certificate

This part of the list is only issued if permanent global certificates with a lack or characteristic are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.

Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

        Aktuelle Einzelliste - Sammelurkunden (Rahmenurkunden)
                   Mängel / Besonderheiten


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund
     Anzahl      Stückelung     Stückenummern Mantel
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

     Anzahl      Stückelung     Stückenummern Bogen
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

Ord/Sammel-Nr   : ZZZZZ9 / ZZZZZ9
Status          : 999 <Text                                                 >
Bes-Stk         : ZZ9 <Text                                                 >
Einlief-Grund   : ZZ9 <Text                                                 >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
     Anzahl         Stückelung     Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern                              >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.17: Individual list M global certificate (up-to)

This part of the list is only issued if global certificates (up-to) with a lack or characteristic are found for the selection criteria.

If no lacks or characteristics were found for permanent global certificates either, then a negative message is printed for this list request also.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.13 Current individual list - certificate selection M - individual certificates for all positions list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "G" and URKUNDENART (CERTIFICATE TYPE) = "E". The data can be restricted for a certain safekeeping type and/or denomination. The individual certificates are only printed in an arithmetised state.

Only the individual certificates from the working or block package stock including the ice block package stock that have certificate numbers with a lack mark or a characteristic are printed in this character list. Individual certificates which are still allocated to a deposit or have already been allocated to a withdrawal, are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:       ZZZ9
60485 Frankfurt am Main

        Aktuelle Einzelliste - Einzelurkunden (Gesamtbestand)
                   Mängel / Besonderheiten


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                                             >
<Stückenummern                                                             >

Stückenummern Bogen
<Stückenummern                                                             >

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                                             >

Stückenummern Bogen
<Stückenummern                                                             >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                                             >
<Stückenummern                                                             >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.18: Individual list M individual certificate all positions list

This part of the list is only issued if individual certificates with lacks or characteristics are found for the selection criteria. If no certificates were found with this criterion, a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.14 Current individual list - certificate selection M - individual certificates block package stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and INDEPENDENT OF BLOCK = "N".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only the individual certificates from working or block package stock (including the ice block package stock) that have certificate numbers with a lack mark or a characteristic are printed in this list.

Working stock and certificates in deposits or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                  Seite:        ZZZ9
60485 Frankfurt am Main

        Aktuelle Einzelliste - Einzelurkunden (Blockbestand)
                    Mängel / Besonderheiten


WKN              : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                   W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                          >
Stückelung       : ZZZ.ZZZ.ZZZ.ZZ9,999

Mangelstücke :                                    Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                  > Block-Nr: 999999
<Stückenummern                                  > Block-Nr: 999999

Stückenummern Bogen
<Stückenummern                                  > Block-Nr: 999999

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                  > Block-Nr: 999999

Stückenummern Bogen
<Stückenummern                                  > Block-Nr: 999999

Besonderheiten :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                  > Block-Nr: 999999
<Stückenummern                                  >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.19: Individual list M individual certificates block package stock list

This part of the list is only issued if individual certificates in the block package stock with lacks or characteristics are found for the selection criteria. If no such individual certificates are found then a negative message is issued for this list request.

In the event of a page change the same criteria apply as with certificate selection I.

The certificate numbers for a block reason or for the replacement certificates are assigned to a block. This information only appears if the block number changes.

3.5.4.15 Current individual list - certificate selection M - individual certificates working stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "H" and URKUNDENART (CERTIFICATE TYPE) = "E".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only individual certificates from working stock that have certificate numbers with a lack mark or characteristic are printed with this selection. Certificates from deposit or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

        Aktuelle Einzelliste - Einzelurkunden (Handbestand)
                   Mängel / Besonderheiten


WKN             : I XXXXXXXXXXXX9 <WKN-Bezeichnung                          >
                  W XXXXX9
Hinterlegungsart: 99  <HLG-TEXT             >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung                        >
Stückelung      : ZZZ.ZZZ.ZZZ.ZZ9,999

Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                                             >
<Stückenummern                                                             >

Stückenummern Bogen
<Stückenummern                                                             >

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                                             >

Stückenummern Bogen
<Stückenummern                                                             >

Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                                             >
<Stückenummern                                                             >

   *** Fortsetzung Seite ZZ9 ***
```

Figure 3.20: Individual list M individual certificates working stock list

This part of the list is only issued if individual certificates with lacks or characteristics are found for the selection criteria. If no such certificates were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

3.5.4.16 Current individual list - certificate selection M - global certificates list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and INDEPENDENT OF BLOCK = "J".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual blocks in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only blocks and block information with the certificate numbers that have a lack mark or characteristic appear in the list.

```
Clearstream Banking AG, Frankfurt                                    TT.MM.JHJJ
Postfach                                                    Seite:       ZZZ9
60485 Frankfurt am Main

   Blockverzeichnis aktuell

   BLOCK-NR        :99999  KZ-BLOCKART: <BLOCKART-TEXT>

   WKN: I XXXXXXXXXXX9 <WKN-Bezeichnung                              >
        W XXXXX9
   STÜCKELUNG      : XX ZZZ.ZZZ.ZZ9,999        ANZAHL URKUNDEN: ZZZ.ZZZ.ZZ9
   HINTERLEGUNGSART: X 99 <HLG-TEXT             >
   SCHRANK         : <SCHRANK-TEXT     > FACH: <FACH-TEXT>
   NAECHSTER-KUPON :  999 TT.MM.JHJJ     LETZTER-KUPON: 999 TT.MM.JHJJ
   ARITHMETISIERUNG: X
   KZ-KV-INTERN    : X <KZ-KV-INTERN-TEXT>
   WKN-EX          : XXXXX9
   SERIEN-WKN      : XXXXX9            ANZAHL OPT.SCHEINE/KUPONS:
   ERFASSUNG       : 9999999999  TT.MM.JHJJ
   AENDERUNG       : 9999999999  TT.MM.JHJJ
   KONTROLLE       : 9999999999  TT.MM.JHJJ
   STATUS          : XXXXXXXXXXX      KZ-MERKMAL: X

   Mangelstücke :                                  Anzahl Urkunden: ZZZ.ZZZ.ZZ9

   Mangelgrund 99 <Text Mangelgrund
   Stückenummern Mantel
    <Stückenummern                                                          >

   Mangelgrund 99 <Text Mangelgrund
   Stückenummern Bogen
    <Stückenummern                                                          >

   Besonderheiten :                                Anzahl Urkunden: ZZZ.ZZZ.ZZ9
   Stückenummern
   <Stückenummern                                                          >

   *** Fortsetzung Seite ZZZ9 ****
```

Figure 3.21: Individual list M global certificate

This part of the list is only issued if individual certificates in the block package stock with lacks or characteristics are found for the selection criteria. If no such certificates were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

3.6 List request certificate list - institution responsible for issuing certificates (EM)

3.6.1 General description

Up until now it has only been possible to request an inventory list for all certificates in a security in the CBF vault within KCSL reporting.

This request of the line unit has been expanded through the customers so that it is also possible to obtain an analysis of all positions in the CBF vault of an institution responsible for issuing certificates.

The request is made via the EM function within KCSL New. The analysis is available as an EXCEL file in CSV format via the Fileservice/Internet Download Area.

The positions for the securities of the institution responsible for issuing certificates appear in the analysis. All securities are considered which have a corresponding entry in the field "emissionsbegleitendes Institut" (institution responsible for issuing certificates) when the positions were determined in WSS on the print date. Entries in the fields collecting agency, depository etc. are not considered.

The analysis for each list request is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each customer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The securities from an institution responsible for issuing certificates are issued alphabetically. The issue is sorted according to safekeeping type, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

For individual certificates, the certificate numbers of working stock, block package and ice block package stock are applied to determine the numerical sum and quantity of certificates.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Identification occurs according to the entry in CARAD for RS securities.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

3.6.2 Screen layout

It is not possible to view the submitted request online. The customer should therefore print a hardcopy before confirming a list request.

```
TRAN: KCSL FC: EM SB:

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H
              Stückeliste Gesamt emissionsbegleitendes Institut


emis. Institut : 9999 < Bank-Text                        >









Druck-Datum    : TT.MM.JJJJ
Ausgabemedium  : 99 < Ausgabe-Text     >
Empfangs-Abt.  : 99 < Empfangs-Abt.-Text              >
-- ID-KZ: 7999000176 -- PW: ________ ------ B7907494 -- 04/03/05 -- 09:54:21 --
KC0366F Bitte Banknummer eingeben
PF3:Verarbeitung  PF4:Abbruch
```

Figure 3.1: Selection screen institution responsible for issuing certificate

The following rules for the input fields apply when entering a list request

Selection criteria	CBF/Customer
Emis. Institut (institution responsible for issuing certificates)	CBF: Required CUSTOMER: Entry not possible; preset with the first 4 digits of the ID.
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT medium)	Constant preset to internet
EMPFANGS-ABT (RECEIVING DEPT.)	CBF: Required CUSTOMER: Input not permitted

A CSV file is created with this function. The content of the CSV file is described in the following chapter.

The print date may not be in the past and is preset to the current date.

3.6.3 CSV File

Name of the CSV file

The institution responsible for issuing certificates analysis is included in the CBF Fileservice in accordance with the other KCSL lists and made available on the internet for customers.

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR661351 for marking which list/analysis is present
4. L&lfd. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

Example:

KS7999.01.KCSL.JR661351.L001.D100303.T154435.ADC

1. 2. 3. 4. 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

Data

The analysis of the positions for an institution responsible for issuing certificates in the CBF vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
….
```

Figure 3.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- DRUCKDATUM (Print date)
- LFD-NR (CURRENT NUMBER)
- EMIS-BEGL-INSTITUT (institution responsible for issuing certificates)
- EMIS-BEGL-INSTITUT-BEZ (institution responsible for issuing certificates DESIGNATION)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data
- Print date
  The field contains 10 characters in the format DD.MM.YYYY.
- Current number
  The field contains 3 digits and is numerical.
- Emissionsbegleitendes Institut
  The field is numerical and contains 4 digits.
- Emissionsbegleitendes Institutsbezeichnung
  The field is alphanumerical and contains 35 characters. If no designation exists for the institution responsible for issuing certificates, a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- ISIN
- WKN-BEZ (DESIGNATION)
- HLG (Safekeeping type)
- HLG-TEXT (Safekeeping type text)
- STUECKELUNG (DENOMINATION)
- SUMME NOMINALE (TOTAL NOMINALS)
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG. NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE-OFFEN (PENDING NOMINAL)
- NOMINALE-DISPOSITIV (NOMINAL anticipated)
- STATUS
- STATUS-TEXT
- EINLIEF-GRUND (DEPOSIT REASON)
- EINLIEF-GRUND-TEXT (DEPOSIT REASON TEXT)
- AGENT
- KZ-AGENT-BEARB (MARK AGENT PROCESSING)
- KZ-AGENT-REPORT (MARK AGENT REPORTING)

The data lines contain the following data in the format and order described below:

- D1 - Identifies this line as a data line for individual certificates
  or D2 - Identifies this line as a data line for global certificates
- ISIN
  The field is alphanumerical and contains 12 characters.
- ISIN designation
  The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type
  The field is numerical and contains 2 digits.
- Safekeeping type text
  The field is alphanumerical and contains 35 characters. If no safekeeping type text exists for the certificate, a SPACE is entered in the field.

- Denomination
  The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)
  The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number
  The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number
  The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate up-to exists, a SPACE is entered in the field.
- Pending nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate up-to exists, a SPACE is entered in the field.
- Nominal anticipated
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate up-to exists, a SPACE is entered in the field.
- Status
  The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text
  The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.
- Deposit reason
  The field is numerical and contains 2 digits. If no global certificate exists, a 0 is entered in the field.
- Deposit reason text
  The field is alphanumerical and contains 20 digits. If no deposit reason text exists for the certificate, a SPACE is entered in the field.
- Agent
  The field is numerical and contains 4 digits. If no agent is entered, a SPACE is entered in the field.
- Agent Bearbeitung
  The field is numerical and contains 3 digits. If no mark is entered, a SPACE is entered in the field.
- Agent Report
  The field is numerical and contains 3 digits. If no mark is entered, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

Layout

The headlines and data lines described above for a CSV file result in the following layout:

```
U1;EMPFAENGER;DRUCKDATUM;LFD.NR;EMIS-BEGL-INSTITUT;EMIS-BEGL-INSTITUT-
BEZ;;;;;;;;;;;;;;;;;;
U2;20;15.10.2010;2;7999;TESTBANK AG;;;;;;;;;;;;;;;;;
U3;ISIN;WKN-BEZ;HLG;HLG-TEXT;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-
NR;ORD-NR;NOMINALE-SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-
DISPOSITIV;STATUS;STATUS-TEXT;EINLIEF-GRUND;EINLIEF-GRUND-TEXT;AGENT;AGENT-TEXT;KZ-
AGENT-BEARB;KZ-AGENT-BEARB-TEXT;KZ-AGENT-REPORT;KZ-AGENT-REPORT-TEXT
D2;DE000A0AMEY5;5,25 % HSBC
TRINK.+BURK.ANL.;1;GS;;;;1;1;5000000,000;;;;500;KONTROLLIERT;1;AUS EMISSION;2;EMI.
INST. MIT AUSGL;1;AUCH AGENT;1;AUCH AGENT
D2;DE000A0AYUK5;5,5 % LEICA CAMERA
WLD.04/1;1;GS;;;;1;;14994900,000;;;;500;KONTROLLIERT;1;AUS EMISSION;;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG
O.N;1;GS;;;;1;;5025000,000;;;;500;KONTROLLIERT;1;AUS EMISSION;;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG  O.N;1;GS;;;;2;;500000,000;;;;500;KONTROLLIERT;1;AUS
E-MISSION;;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG  O.N;1;GS;;;;3;;552000,000;;;;500;KONTROLLIERT;1;AUS
E-MISSION;;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG  O.N;1;GS;;;;4;;607500,000;;;;500;KONTROLLIERT;1;AUS
E-MISSION;;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG
O.N;1;GS;;;;5;1;18000,000;552500,000;534500,000;;500;KONTROLLIERT;1;AUS EMISSI-
ON;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;1,000;93477,000;93477;;;;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;10,000;3295520,000;329552;;;;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;99,999;9999,900;100;;;;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;100,000;28825100,000;288251;;;;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;500,000;887500,000;1775;;;;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;1000,000;546000,000;546;;;;;;;;;;;;;;;;
```

Figure 3.2: Example CSV file: KSCL EM

The CSV example file "Beispieldatei KCSL EM CSV-File.CSV" is available for download on the CBF web site www.clearstream.com for test purposes.

3.7 List request certificate list - agent (AM)

Up until now it has only been possible to request an inventory list for all certificates in a security in the CBF vault within KCSL reporting.

This request of the line unit has been expanded through the customers so that it is also possible to obtain an analysis of all positions in the CBF vault of an agent.

The request is made via the new AM function within KCSL. The analysis is available as an Excel file in CSV format via the Fileservice / Internet Download Area.

The positions for the securities of the agent appear in the analysis. All securities are considered which have a corresponding entry in the field "Agent" when the positions were determined in WSS on the print date. Entries in the fields collecting agency, depository etc. are not considered.

The analysis for each list request is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each customer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The securities from an agent are issued alphabetically. The issue is sorted according to safekeeping type, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

For individual certificates, the certificate numbers of working stock, block package and ice block package stock are applied to determine the numerical sum and quantity of certificates.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

3.7.1 Screen layout

It is not possible to view the submitted request online. The customer should therefore print a hardcopy before confirming a list request.

```
TRAN: KCSL FC: AM SB:

CARAD       A N F O R D E R U N G E N    L I S T E N   B A T C H
              Stückeliste Gesamt Agent


Agent          : ____









Druck-Datum    : 09.08.2010
Ausgabemedium  : 04 INTERNET CSV-FILE
Empfangs-Abt.  : __
-- ID-KZ: 7999230003 -- PW:          ------ B7907494 -- 09/08/10 -- 08:46:36 --
KC0366F Bitte Banknummer eingeben
PF3:Verarbeitung PF4:Abbruch
```

Figure 3.1: Selection screen agent

The following rules for the input fields apply when entering a list request:

Selection criteria	CBF/Customer
Agent	CBF: Required CUSTOMER: Entry not possible; preset with the first 4 digits of the ID.
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Constant preset to internet
EMPFANGS-ABT (RECEIVING DEPT)	CBF: Required CUSTOMER: Input not permitted

A CSV file is created with this function. The content of the CSV file is described in the following chapter.

The print date may not be in the past and is preset to the current date.

3.7.2 CSV file

Name of the CSV file

The agent analysis is included in the CBF file service in accordance with the other KCSL lists and made available on the internet for customers.

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR666351 for marking which list/analysis is present
4. L&lfd. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

Example:
KS7999.01.KCSL.JR666351.L001.D100303.T154435.ADC

1. 2. 3. 4. 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

Data

The analysis of the positions for an agent in the CBF vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
….
```

Figure 3.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (Recipient)
- DRUCKDATUM (PRINT DATE)
- LFD-NR (CURRENT NUMBER)
- AGENT
- AGENT-BEZ (Agent Designation)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data
- Recipient
  The field is numerical and contains 4 digits.
- Print date
  The field contains 10 characters in the format DD.MM.YYYY.
- The serial number for the list request
  The field contains 3 digits and is numerical.
- Agent
  The field is numerical and contains 4 digits.
- Agent Designation
  The field is alphanumerical and contains 35 characters. If no designation exists for the agent, a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- ISIN
- WKN-BEZ (DESIGNATION)
- HLG (Safekeeping type)
- HLG-TEXT (Safekeeping type text)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG. NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE-OFFEN (PENDING NOMINAL)
- NOMINALE-DISPOSITIV (NOMINAL anticipated)
- STATUS
- STATUS-TEXT
- EINLIEF-GRUND (DEPOSIT REASON)
- EINLIEF-GRUND-TEXT (DEPOSIT REASON TEXT)
- KZ-AGENT-BEARB (MARK AGENT PROCESSING)
- KZ-AGENT-REPORT (MARK AGENT REPORTING)

The data lines contain the following data in the format and order described below:.

- D2 - Identifies this line as a data line for global certificates
- ISIN
  The field is alphanumerical and contains 12 characters.
- ISIN designation
  The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type
  The field is numerical and contains 2 digits.
- Safekeeping type text
  The field is alphanumerical and contains 35 characters. If no deposit type text exists for the certificate, a SPACE is entered in the field.
- Collective number
  The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.

- Organisation number
  The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Pending nominal
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Nominal anticipated
  The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status
  The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text
  The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.
- Deposit reason
  The field is numerical and contains 3 digits. If no global certificate exists, a 0 is entered in the field.
- Deposit reason text
  The field is alphanumerical and contains 20 digits. If no deposit reason text exists for the certificate, a SPACE is entered in the field.
- Agent Bearbeitung
  The field is numerical and contains 3 digits. If no agent information exists, a SPACE is entered in the field.
- Agent Report
  The field is numerical and contains 3 digits. If no agent information exists, a SPACE is entered in the field.

Layout

The headlines and data lines described above for a CSV file result in the following layout:

```
U1;EMPFAENGER;DRUCKDATUM;LFD.NR;BANK;BANK-NAME;ISIN;WKN-BEZ;HLG;HLG-TEXT;;;;
U2;20;11.10.2010;1,000;7999,000;TESTBANK AG;;;20,000;SONDERVERWAHRUNG;;;;
U3;ISIN;WKN-BEZ;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT
D1;DE000A0ETLQ3;ASKLEPIOS KLIN.V.GEN.;1000000,000;10000000,000;10;;;;;;;;
D1;DE000A0WL3W2;3,7 % KRSPK.MUENCH.IS.S.WL3;1000,000;5000,000;5;;;;;;;;
D2;DE000CM0E9R6;COMMERZBANK CALL10 ID;;;;3;2;1000000,000;;;;500;KONTROLLIERT
D2;DE000CM0E9R6;COMMERZBANK CALL10 ID;;;;6;1234;1000,000;;;;200;TEILERFASST
D2;DE000GS1EVA7;GOLDM.S.3YEXPR.
ZT10;;;;4;4;200000,000;25000000,000;24800000,000;;500;KONTROLLIERT
D2;DE000HV0KPM7;UC-HVB PUT10 ENL;;;;2;2;;500000,000;500000,000;;500;KONTROLLIERT
D2;DE000HV0KPX4;UC-HVB CALL10 E-
NI;;;;2;2;2000,000;15000,000;13000,000;;500;KONTROLLIERT
D2;DE000HV0KPZ9;UC-HVB CALL10 ENI;;;;2;2;;1000000,000;1000000,000;;500;KONTROLLIERT
D1;DE000HV0KP13;UC-HVB PUT10 FIAT;1000,000;1000000,000;1000;;;;;;;;
D1;DE000PAH0004;PORSCHE AUTOM.HLDG ST;1,000;2,000;2;;;;;;;;
D1;DE0001016129;5,5 % DT.PFBR.BANK IS.EM.16;10000,000;20000,000;2;;;;;;;;
D1;DE0001049419;6,125 % COMMERZBANK  00/10;5000,000;5000,000;1;;;;;;;;
D1;DE0001300200;10,5 % ARGENTINIEN 95/02 1-2;10000,000;50000,000;5;;;;;;;;
D1;DE0001319507;11,25 % ARGENTINIEN 96/06 1-2;1000,000;29000,000;29;;;;;;;;
D1;DE0001319507;11,25 % ARGENTINIEN 96/06 1-2;10000,000;310000,000;31;;;;;;;;
D1;DE0001325017;11,75 % ARGENTINIEN 96/11;1000,000;3000,000;3;;;;;;;;
D1;DE0001325017;11,75 % ARGENTINIEN 96/11;10000,000;10000,000;1;;;;;;;;
D1;DE0001340917;12 % ARGENTINIEN 96/16;1000,000;10000,000;10;;;;;;;;
D1;DE0001340917;12 % ARGENTINIEN 96/16;10000,000;40000,000;4;;;;;;;;
D1;DE0001348100;11,75 % ARGENTINIEN 96/26;1000,000;2000,000;2;;;;;;;;
D2;DE0002101318;5,5 % UC-HVB
PF22;;;;2;3;2000,000;200000,000;198000,000;;500;KONTROLLIERT
D2;DE0002101318;5,5 % UC-HVB PF22;;;;5;5;;1566,330;1566,330;;500;KONTROLLIERT
D1;DE0002101557;6 % UC-HVB PF 6;5000,000;500000,000;100;;;;;;;;
D1;DE0002101607;6 % UC-HVB PF10;1000,000;10000,000;10;;;;;;;;
```

Figure 3.2: Example CSV file: KCSL AM

The CSV example file "Beispieldatei KCSL AM CSV-File.CSV" is available for download on the CBF web site www.clearstream.com for test purposes.

4. Instruction history KPHI

This transaction provides information functions for the deposit and withdrawal history that enable monitoring of the exact processing status of an instruction for the instruction types AA16 and AA18 at the CBF checkpoints. Only own instructions (credit/debit account of the person inputting) are displayed.

The screen menu for the "Auftragshistorie" (instruction history) can be accessed via expert access "TRAN: KPHI".

The entry of a function code (FC) is always required.

By entering further selection criteria, the display can be limited additionally. The respective selection options for the individual function codes are described in detail below.

4.1 Deposit history (HE)

Selecting the function HE accesses the short view of the deposit history.

The compact history view is sorted by Credit Bank, WKN, instruction number, deposit number or acceptance date depending on the prescribed selection criteria and in all cases according to date and time of the history entry. This ensures that all history entries for an instruction are displayed consecutively and in their processing sequence.

The compact history view can be restricted further with the fields TRESOR-SEGM, GUT-BANK WKN, AUFTRAGS-NR (INSTRUCTION NUMBER), EING-NR (DEPOSIT NUMBER), DATUM VON (DATE FROM) and DATUM-BIS (DATE TO).

The fields instruction number and EIN-/AUSG-NR may not be filled in combination.

If both the DATUM-VON (DATE FROM) and the DATUM-BIS (DATE TO) are entered, then all instructions are displayed, which were either manually accepted at the CBF checkpoint of securities (KPEA) or automatically accepted within the specified period. If only the field DATUM-VON (DATE FROM) is edited, then only the instructions are shown which were accepted on this day.

```
TRAN: KPHI FC: HE SB: ##I########

 CARAD                          AUFTRAGSHISTORIE                        WERTEBEREICH



                          HE   HISTORIE EINLIEFERUNGEN
                          HA   HISTORIE AUSLIEFERUNGEN



                               TRESOR-SEGM     : . (1-GS/2-SVT/3-FTB/4-METALL)
                               GUT-/LAST-BANK  : ....
                               WKN             : I ............
                               AUFTRAGS-NR     : .........
                               EING-/AUSG-NR   : .........
                               DATUM-VON       : ..........
                               DATUM-BIS       : ..........



 -- ID-KZ: 7907230003 -- PW:          ------ B79073T0 -- 04/05/11 -- 14:26:36 --
 EA0667F Es muss mindestens eines der markierten Felder gefüllt werden
 PF1:HilfeEinl.  PF2:HilfeAusl.  PF3:Rücksprung  PF4:Abbruch
```

Figure 4.1: KPHI basic screen

Fields	Entry
TRESOR-SEGM	Optional entry "1" - GS "2" - SVT "3" - FTB "4" - METAL
GUT-/LAST-BANK	Optional entry for deposit: credit bank for withdrawal: debit bank
WKN	WKNOptional entry WP-Number "B" - Stock exchange symbol "C" - CUSIP-NR "F" - CEDEL-EURO-NR "I" - ISIN "W" - German WKN
EIN-/AUSG-NR DEPOSIT/ WITHDRAWAL NUMBER	Optional entry Deposit entry number for deposits Withdrawal entry number for withdrawals
AUFTRAGS-NR (INSTRUCTION NUMBER)	Optional entry
DATUM-VON (DATE FROM)	Optional entry for KPHI HE: Date of the securities acceptance for KPHI HA: Date of the book entry
DATUM-BIS (DATE TO)	Optional entry Refer to Date from (Entry only allowed in connection with DATE FROM)

The DATUM-BIS (DATE TO) can be entered only if the DATUM-VON (DATE-FROM) is filled.

All the other selection criterions can be combined.

4.1.1 Short view KPHI HE

After selection of KPHI HE criterions the list of relevant instruction will be displayed.

```
TRAN: KPHI FC: HE SB: ##I########

CARAD                    HISTORIE EINLIEFERUNGEN                    WERTEBEREICH

                                                                      SEITE:   1
                                   EING-                    BEARB-       AUSF-
KZ     WKN              AUFTNR     NUMMER        NOM-URK     STATUS IAA   DATUM
_    E  DE000LS0DSU8       1677         80            100        941  2   09.09.10
_       DE000LS0DSU8      16608         83              1        990  5   09.09.10
_       DE0008471061     410001     200002            100        500  1   21.09.10
_    E  DE000DB9C8G5       6201         15            100        150  2   30.08.10

-- ID-KZ: 7999670001 -- PW:          ------ B79075D4 -- 10/12/10 -- 14:52:18 --

PF1:Hilfe  PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF8:Vor
```

Figure 4.2: Short view deposit history

Every instruction is only shown once with current processing statuses (retroactive for 30 years).

Deposit instructions are sorted ascending by ISIN, instruction number, bank, year-book, deposit/ withdrawal and booking number.

In addition to the KZ (mark) field, a 4-character field exists that provides the following information:

Field structure	
1. Certificate vault	blank = CBF vault
	F = Third Party Vault
	S = Individual safe custody
	M = Precious metal
2. Cert. origin	blank = Entry
	* = Lima
	! = Deposits with evidence type=2 is (therefore generally returns)
	G = Automatically generated instruction (markup/markdown)
	U = EDT upload procedure
3. Cert. evidence type	only specific characteristics
	6 /re-registration/locking up) or
	7 (no assignment)
	E = EDT deposit
4.Certificate stop order	blank = no blocked certificates
	O= at least 1 certificate with a stop order

4.1.1.1 Help screens deposit processing status

The PF1 key can be used to access help screens to display all possible deposit processing statuses.

```
TRAN: KPHI FC: HE SB: 2013##I########

 KONTROLLSTELLE       BEARBEITUNGS-STATUS EINLIEFERUNG            WERTEBEREICH

                                                                       SEITE   1
   KZ    STATUS
   10    EINLIEFERUNG TEILERFASST - ZU WENIG STUECKE
   30    EINL. Z. RUECKGABE GENERIERT, ZU WENIG STUECKE
   50    EINLIEFERUNG TEILERFASST - ZU VIELE STUECKE
   70    EINL. Z. RUECKGABE GENERIERT, ZU VIELE STUECKE
  100    EINLIEFERUNG VOLLSTAENDIG ERFASST
  150    EINLIEFERUNG ZUR RUECKGABE GENERIERT
  200    EINLIEFERUNG ANGENOMMEN
  410    EINLIEFERUNG GEAENDERT - ZU WENIGE STUECKE
  450    EINLIEFERUNG GEAENDERT - ZU VIELE STUECKE
  500    EINLIEFERUNG VOLLSTAENDIG GEAENDERT
  522    BUCHUNGSFREIGABE ONLINE ZURUECKGENOMMEN
  523    BUCHUNGSFREIGABE ZURUECKGENOMMEN, INKONSISTENZEN MIT CARAD
  550    TEXTINFORMATION ZUM AUFTRAG BEARBEITET
  700    EINLIEFERUNG ZUR BUCHUNG FREIGEGEBEN

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 07:49:35 --

 PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF8:Vor
```

Figure 4.3: Help screen deposit processing statuses - page 1

```
TRAN: KPHI FC: HE SB: 2013##I########

 KONTROLLSTELLE       BEARBEITUNGS-STATUS EINLIEFERUNG            WERTEBEREICH

                                                                       SEITE   2
   KZ    STATUS
  701    ZUSTIMMUNG ZUR EINLIEFERUNG ERTEILT
  800    AUFTRAG ERFOLGREICH GEBUCHT - UM-/FESTSCHREIBUNG AUSSTEHEND
  801    MANTEL-/UNIKATETRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR
  802    BOGENTRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR
  803    MANTEL-/UNIKATE- UND BOGENTRESOR HABEN NICHT VEREINNAHMT
  811    MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, BOGENTRESOR NICHT
  812    BOGENTRESOR HAT VEREINNAHMT, MANTEL/UNIKATETRESOR NICHT
  821    MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR
  822    BOGENTRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR
  823    MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN VEREINNAHMT
  911    MANTEL-/UNIKATETRESOR HAT GELOESCHT, BOGENTRESOR NICHT
  912    BOGENTRESOR HAT GELOESCHT, MANTEL-/UNIKATETRESOR NICHT
  921    MANTEL-/UNIKATETRESOR HAT GELOESCHT, KEIN GEGENTRESOR
  922    BOGENTRESOR HAT GELOESCHT, KEIN GEGENTRESOR

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 07:51:32 --

 PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
```

Figure 4.4: Help screen deposit processing statuses - page 2

```
TRAN: KPHI FC: HE SB: 2013##I########

 KONTROLLSTELLE       BEARBEITUNGS-STATUS EINLIEFERUNG            WERTEBEREICH

                                                                      SEITE   3
   KZ    STATUS
  923    MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN GELOESCHT
  931    MANTEL-/UNIKATETRESOR HAT STORNIERT, BOGENTRESOR NICHT
  932    BOGENTRESOR HAT STORNIERT, MANTEL-/UNIKATETRESOR NICHT
  941    MANTEL-/UNIKATETRESOR HAT STORNIERT, KEIN GEGENTRESOR
  942    BOGENTRESOR HAT STORNIERT, KEIN GEGENTRESOR
  943    MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN STORNIERT
  990    UEBERLEITUNG NACH CARAD
  991    LOESCHUNG WG. KADI AUF CARAD
  999    LOESCHUNG WG. KADI-TERMIN









 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 07:51:42 --

 PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 4.5: Help screen deposit processing statuses - page 3

4.1.1.2 Help screen internal instruction type

From the help screen deposit processing statuses, PF2 can be used to access another help screen that displays the internal deposit instruction type.

```
TRAN: KPHI FC: HE SB: ##I########1#

 KONTROLLSTELLE       INTERNE AUFTRAGSARTEN EINLIEFERUNG          WERTEBEREICH

                                                                      SEITE   1
   KZ                    INTERNE AUFTRAGSART (IAA)
        CBF-TRESOR                                 FREMDTRESOR/SONDERVERW/EDELMET
    1   LFD. EINLIEFERUNG                          EINLIEFERUNG EINZELURKUNDE
    2   NEUZULASSUNG GLOBALURKUNDE                 EINLIEFERUNG GLOBALURKUNDE
    3   NEUZULASSUNG RAHMENURKUNDE                 EINLIEFERUNG RAHMENURKUNDE
    4   NEUZULASSUNG VALUTIERTE RAHMENURKUNDE      EINLIEFERUNG VALUTIERTE RU
    5   VALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE
    6   VALUTIERUNG                                VALUTIERUNG









 -- ID-KZ: 7907232003 -- PW:          ------ B7907494 -- 17/11/09 -- 13:09:20 --

 PF2:Bearb-Status  PF3:Rücksprung  PF4:Abbruch
```

Figure 4.6: Help screen internal deposit instruction types

4.1.1.3 Full view KPHI HE

By entering "I" in the KZ field further details of the selected deposit instruction will be displayed. The current processing status will be shown.

The following details will be displayed:

- Nominal Up-to and organisation number on the Page 1
- Deposit booking number - 9 digits

On the full screen the current processing status can vary in single cases from the one displayed on the short history screen. (That is, based on simultaneously ongoing instruction processing or based on the fact that not every change of processing statuses results in entry in "new " history).

```
TRAN: KPHI FC: HE SB: ##I########

CARAD                       EINLIEFERUNG / INFORMATION              WERTEBEREICH
                             NEUZULASSUNG/VALUTIERUNG
AUFTNR   :     71748    HLG: 01 GS

LAST-KTO : 7961 000       CBF TRESORBESTAND SVG
GUT-KTO  : 1045 000       DEXIA KOMMUNALBANK DEUTSCHLAND AG
WKN      : I DE000DXA1NE9 3,17 % DEX.KOMM.DEU.MTN.OPF 1621 25.02.G
             W DXA1NE
NOMINALE :     10.000.000           EINHEIT: EO    ST-ART:
NOM-URK  :     10.000.000           EINLIEF-ART  : 2   NEUZULASSUNG GLOBAL
RAHMEN-NOM:                0        ORD-NR       :
KUNDENREFERENZ       :     -                 -                    KZ-BST:
EINLIEFERUNG-VON NAME:
ADRESSE:

EING-NR:    870322                  EINLIEF-GRUND:   1 AUS EMISSION
BEARB-STATUS: 990 UEBERLEITUNG NACH CARAD
DISPO-STATUS: 2 STUECKE-DISPOSITION DURCHGEFUEHRT
BUCH-VAL : 29.11.2010
-- ID-KZ: 7999090704 -- PW:          ------ B79075D3 -- 05/01/11 -- 13:58:03 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF8:Vor
```

Figure 4.7: Full view deposit instructions - page 1

PF8 can be used to branch to the "Folge-/Zessions"-screen:

- Unless it is not a new registration application of a RS-type ("registered shares") instead of the KE-type fields, the agents boxes are displayed.
- On the Zessions screen of a RS-instruction, the shareholder number is displayed without the name fields. The shareholders' names are given on the share register.

```
TRAN: KPHI FC: HE SB: #########

CARAD                    EINLIEFERUNG / FOLGEINFORMATION           WERTEBEREICH
                            NEUZULASSUNG/VALUTIERUNG
AUFTNR:   4710122        WKN: I DE0008474040       HLG: 01 GS

VERWAHR-MOEGLICHKEIT    :   9 GIROSAMMELVERW.
BESONDERHEIT            :
ABWEICHENDE-BEZEICHNUNG :   0 KEINE ABW. BEZEICHNUNG

NAECHSTER KUPON         :                          LETZT. KUPON   :


NACHWEISART:   1 EINLIEF. EFF. URK.

AGENT      : 1011 LANDESBANK BERLIN AG
BEARBEITUNG:   0  NUR EMISS. INSTITUT
REPORTING  :   0  NUR EMISS. INSTITUT

TEXT:

-- ID-KZ: 7999670001 -- PW:          ------ B79075D3 -- 15/12/10 -- 14:58:58 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
```

Figure 4.8: Full view deposit instructions - page 2

By selecting PF8 the certificate number/instrument screen will be displayed:

a) For the delivery of physical certificates, the screen looks like this:

```
TRAN: KPHI FC: HE SB: ##I########

CARAD                    EINLIEFERUNG / STUECKINFORMATION          WERTEBEREICH
                              LFD. EINLIEFERUNG
AUFTNR    :   1600005                          GES-NOM  :            100
WKN       : I DE0008474040   ANZ-URK:       100  SUMME-NOM:            100
STCKL     :                  1

KZ STUECKENUMMERN                                                    MAN MAN E
                                                                     GEL GEL
  W.1-100, .*









-- ID-KZ: 7999670001 -- PW:          ------ B79075D3 -- 15/12/10 -- 15:03:40 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 4.9: Full view deposit instructions, certificates numbers for physical certificates - page 3

b) For the delivery of Global Notes, the screen looks like this:

```
TRAN: KPHI FC: HE SB: ##I########

CARAD                    EINLIEFERUNG / STUECKINFORMATION          WERTEBEREICH
                      NEUZULASSUNG/VALUTIERUNG - SAMMELURKUNDE
AUFTNR    :    416123                          GES-NOM   :            100
WKN       : I DE0008404005                     SUMME-NOM:            100

     ANZAHL LIT         STUECKELUNG STUECKENUMMERN (VERBRIEFTE URKUNDEN)  E/O

        100                   1     A.1-100, .<









-- ID-KZ: 7999670001 -- PW:          ------ B79075D3 -- 15/12/10 -- 15:05:17 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 4.10: Full view deposit instructions, certificates numbers for Global Notes - page 3

4.1.1.4 Online printing KPHI HE

PF2 can be used in the short view and full view to print out an instruction online.

The details are shown for a delivery date note.

```
EINLIEFERUNGSHISTORIE

 ERFASSUNG    : 7907230003   04.04.2011   10:08                          HISTORIE
 KONTROLLE    : 7907231003   04.04.2011   10:10
 ANNAHME      : 7907231003   04.04.2011   10:11              EING-NR:    425945
 ZUSTIMMUNG   : 7907231003   04.04.2011   10:12
 FREIGABE     : 7907230003   04.04.2011   10:12
 MANTELTRESOR: 7907999999   05.04.2011   15:38
 BOGENTRESOR : 7907999999   05.04.2011   15:38


 CARAD                    EINLIEFERUNG / INFORMATION              WERTEBEREICH
                              LFD. EINLIEFERUNG

AUFTNR    :    653002          HLG: 01 GS


 LAST-KTO : 7960 000       CBF TRESORBESTAND GS
 GUT-KTO  : 2013 000       CACEIS BANK DEUTSCHLAND GMBH
 WKN      : I DE0002100773 5 % UC-HVB PF26 01.J/J
            W 210077
 NOMINALE :          2.000          EINHEIT: DM    ST-ART: M + B GETRENNT
 NOM-URK  :          2.000          EINLIEF-ART  : 1   LFD. EINLIEFERUNG
```

Figure 4.11: Deposit instruction online printing - page 1

```
KUNDENREFERENZ       :     -                 -                    KZ-BST:
 EINLIEFERUNG-VON-NAME:
 ADRESSE:
 WKN-STAMMRECHT:
 EING-NR:    425945                  EINLIEF-GRUND:
 BEARB-STATUS: 990 UEBERLEITUNG NACH CARAD
 DISPO-STATUS:   2 STUECKE-DISPOSITION DURCHGEFUEHRT

 BUCH-VAL : 04.04.2011
 VERWAHR-MOEGLICHKEIT    :   9 GIROSAMMELVERW.
 BESONDERHEIT            :
 ABWEICHENDE-BEZEICHNUNG :   0 KEINE ABW. BEZEICHNUNG

 NAECHSTER KUPON/LEG     : 01.07.2011               LETZTER KUP/LEG: 01.07.2013

 UEBERF KUPON/LEG    VON :                          BIS            :

 NACHWEISART:   1 EINLIEF. EFF. URK.                SAMMELURKUNDE : N

TEXT:









ONLINE-DRUCK ZU AUFTRAG-NR.:           653002

 GUT-KTO   :       2013 000      EING-NR   :    425945     WKN   : I DE0002100773
 SUMME-NOM:          2.000

 STUECKELUNG:           1.000      ANZ-URKUNDEN:        2

 STUECKENUMMERN                                                    MAN MAN E
                                                                   GEL GEL
 PM1001-2,
```

Figure 4.12: Deposit instruction online printing - page 2

4.2 Withdrawal history (HA)

Selecting the function HA - Auslieferungshistorie accesses the short view of the withdrawal history.

The view can be restricted further with the fields LAST BANK (DEBIT BANK), AUFTR.-NR (INSTRUCTION NUMBER), AUSG-NR (WITHDRAWAL NUMBER), DATUM VON (DATE FROM) and WKN. The other selection fields are insignificant for this function.

Note that only the history entries for one instruction are displayed with a selection via the withdrawal ledger number which were created after the transfer for book entry, since the withdrawal ledger number is only assigned at this point.

4.2.1 Short view KPHI HA

The short view displays only the current status of the instructions. The number of displayed instructions could be restricted by entering date in the field DATUM-BIS.

Sorting depends on the entered selection criteria according to LAST-BANK and WKN, LAST-BANK and instruction number or LAST-BANK and withdrawal ledger number. Additionally, sorting in each case is according to date and time of the historical entry, so that all entries for an instruction follows directly after one another.

```
TRAN: KPHI FC: HA SB: #2013#I########

 CARAD                      HISTORIE AUSLIEFERUNGEN                  WERTEBEREICH

                                                                        SEITE:   1
                                  AUSG-                                IAA      AUSF-
 KZ     WKN              AUFTNR    NUMMER         NOM-URK      BA     SEND  DATUM
 _      DE000HBE0EA6     168866    137783       8.000.000      703 5 00/01 05.04.11
 _      DE000ML0BGQ1      16666    137715          10.000      700 4 01/01 23.03.11
 _      DE000PAH0038     160012    137724           4.583      700 1 01/01 24.03.11
 _      DE0002101540      16902    137747       2.521.300      640 1 00/00 05.05.11
 _      DE0008471061     161110    137785           2.322      650 1 00/00 05.04.11
 _      DE0009782722     161803    137641              10      200 8 00/00 17.03.11









 -- ID-KZ: 7907230003 -- PW:          ------ B79073T0 -- 06/05/11 -- 10:12:11 --
 EA0016I Keine weiteren Daten vorhanden
 PF1:Hilfe  PF2:Druck  PF3:Rücksprung  PF4:Abbruch
```

Figure 4.13: Short view withdrawal history

In addition to the KZ (mark) field, a 4-character field exists that provides the following information:

Field structure	
1. Certificate vault	blank = CBF vault
	F = Third party vaults
	S = Individual safe custody
	M = Precious metal
2. Cert. origin	blank = Entry
	* = Lima
	# = Change with KADI date
	G = automatically generated instruction (markup/markdown)
3. Cert. evidence type	blank
4. Certificate stop order	blank = no blocked certificates
	O = at least 1 certificate with a stop order

4.2.1.1 Help screens for withdrawal processing status

The PF1 key can be used to access help screens to display all possible withdrawal processing statuses.

```
TRAN: KPHI FC: HA SB: #2013#I########

 KONTROLLSTELLE       BEARBEITUNGS-STATUS AUSLIEFERUNG            WERTEBEREICH

                                                                       SEITE   1
   KZ    STATUS
   10    AUSLIEFERUNG NICHT VOLLSTAENDIG ERFASST
  100    AUSLIEFERUNG VOLLSTAENDIG ERFASST
  150    AUSLIEFERUNGSAUFTRAG KONTROLLIERT
  200    AUSLIEFERUNG IN KPZS VOLLSTAENDIG GEAENDERT
  210    AUSLIEFERUNG IN KPZS ZUR RUECKGABE GENERIERT
  220    BUCHUNGSFREIGABE IN KPZS ZURUECKGENOMMEN
  300    AUSLIEFERUNG IN KPST VOLLSTAENDIG GEAENDERT
  310    AUSLIEFERUNG IN KPST ZUR RUECKGABE GENERIERT
  320    BUCHUNGSFREIGABE IN KPST ZURUECKGENOMMEN
  400    AUSLIEFERUNG ZUR BUCHUNG FREIGEGEBEN
  410    ABGELEHNT IN DISPOSITION/ZURUECK IN KPZS
  500    AUSLIEFERUNG ZUR BUCHUNG FREIGEGEBEN
  510    ABGELEHNT IN DISPOSITION / ZURUECK IN KPST
  590    AUFTRAG ERFOLGREICH GEBUCHT

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:04:59 --

 PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF8:Vor
```

Figure 4.14: Help screen processing statuses withdrawal - page 1

```
TRAN: KPHI FC: HA SB: #2013#I########

 KONTROLLSTELLE       BEARBEITUNGS-STATUS AUSLIEFERUNG            WERTEBEREICH

                                                                        SEITE   2
   KZ    STATUS
  610    AUSLIEFERUNG GELOESCHT
  620    MANUELLE ZUWEISUNG UNVOLLSTAENDIG
  630    MANUELLE ZUWEISUNG VOLLSTAENDIG
  640    ABGELEHNT IN MASCHINELLER ZUWEISUNG
  650    AUSLIEFERUNG STORNIERT
  700    ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT
  701    NOCH TEILSENDUNGEN OFFEN
  702    ALLE SENDUNGEN AUSGELIEFERT, AUFTRAG IST ZU LOESCHEN
  703    ZUWEISUNG ABGESCHLOSSEN
  720    VOM E-AUSGANG ZURUECKGEN. - MASCH. ZUWEISUNG ZURUECKGENOM.
  730    VOM E-AUSGANG ZURUECKGEN. - MAN. ZUWEISUNG NOCH VORHANDEN
  750    KEINE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG ERFORDERLICH
  790    AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEAENDERT
  791    ENDBEARBEITETE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEAENDERT

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:05:07 --

 PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
```

Figure 4.15: Help screen processing statuses withdrawal - page 2

```
TRAN: KPHI FC: HA SB: #2013#I########

 KONTROLLSTELLE       BEARBEITUNGS-STATUS AUSLIEFERUNG            WERTEBEREICH

                                                                        SEITE   3
   KZ    STATUS
  792    HISTORISCHE AUSLIEFERUNG IN KPHI GEAENDERT
  993    UMLEGUNG AUTOMATISCH ENDBEARBEITET
  999    LOESCHUNG WG. KADI-TERMIN









 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:05:15 --

 PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 4.16: Help screen processing statuses withdrawal - page 3

4.2.1.2 Help screen for internal withdrawal instruction types

PF2 can be used to access another help screen that displays the internal withdrawal instruction types from the help screen for the processing status.

```
TRAN: KPHI FC: HA SB: ##I########1#

KONTROLLSTELLE       INTERNE AUFTRAGSARTEN AUSLIEFERUNG          WERTEBEREICH

                                                                      SEITE   1
  KZ                   INTERNE AUFTRAGSART (IAA)
   1    AUSLIEFERUNG EINZELURKUNDE
   2    REVALUTIERUNG
   3    AUSLIEFERUNG RAHMENURKUNDE
   4    REVALUTIERUNG MIT AUSLIEFERUNG RAHMENURKUNDE
   5    AUSLIEFERUNG STUECKELOSE GLOBALURKUNDE
   6    AUSLIEFERUNG TECHNISCHE GLOBALURKUNDE
   7    TEILREDUZIERUNG
   8    REVALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE









-- ID-KZ: 7907232003 -- PW:          ------ B7907494 -- 17/11/09 -- 13:06:41 --

PF2:Bearb-Status  PF3:Rücksprung  PF4:Abbruch
```

Figure 4.17: Help screen internal instruction types withdrawal - page 3

4.2.1.3 Full view KPHI HA

By entering "I" in the KZ field the further details of the selected withdrawal instruction will be displayed. The current processing status will be shown.

The following details will be displayed:

- Nominal Up-to and organisation number on the Page 1
- withdrawal ledger number - nine digits

On the full view the current processing status can vary in single cases from the one displayed on the short view (that is, based on simultaneously ongoing instruction processing or based on the fact that not every change of processing statuses results in entry in "new" history).

```
TRAN: KPHI FC: HA SB: #2013#I########

 CARAD                       HISTORIE AUSLIEFERUNG                    WERTEBEREICH

 AUFTNR   :     16666                              HLG: 01 GS

 LAST-KTO : 2013 000       CACEIS BANK DEUTSCHLAND GMBH
 GUT-KTO  : 7961 200       CBF TR. B. SVG BIS-ZU URK. GS
 WKN      : I DE000ML0BGQ1 MERRILL LYNCH 07/11 FLR 19.03.G
            W ML0BGQ
 NOMINALE :         10.000         EINHEIT: ST      ST-ART:
 NOM-URK  :         10.000                              UMLEGUNG:
 SET-DAY  : 22.03.2011  AUSLIEF-VERF: 01 PER BANKBOTE
 KUNDENREFERENZ:     -                 -                  AUSG-NR:    137715
 NAECHSTER KUPON/LEG: 19.03.2010
 SAMMELURKUNDE (J/N): J  AUSLIEF-VORG: 2 REVALUTIERUNG  AUSLIEFERUNG RU (J/N): J
                                                        ABW-VERSANDADR  (J/N): N

 BEARB-STATUS: 700 ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT
 DISPO-STATUS:   2 STUECKE-DISPOSITION DURCHGEFUEHRT

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:16:15 --

PF2:Druck PF3:Rücksprung PF4:Abbruch PF8:Vor PF9:Gebühren
```

Figure 4.18: Full view withdrawal history - page 1

```
TRAN: KPHI FC: HA SB: #2013#I########

 CARAD                       HISTORIE AUSLIEFERUNG                    WERTEBEREICH
                                ADRESSDATEN
 AUFTNR      :     16666    WKN: I DE000ML0BGQ1     HLG: 01 GS
 NAME        :
 STRASSE     :
 LAND/PLZ/ORT:


 AN ADRESS-NR:           BIC-CODE:                KTO-STAMM:
 NAME        : CACEIS BANK DEUTSCHLAND GMBH       PLZ/GROK: 80311

 NAMENSZUSATZ:
 STRASSE     : LILIENTHALALLEE 34-36
 PLZ/POSTFACH:
 LAND/PLZ/ORT: D   80939 MUENCHEN
 HINWEISTEXT :



 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:16:35 --

 PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor  PF9:Gebühren
```

Figure 4.19: Full view withdrawal history, address data- page 2

```
TRAN: KPHI FC: HA SB: #2013#I########

 CARAD                       HISTORIE AUSLIEFERUNG                    WERTEBEREICH
                            STUECKELUNGEN

 AUFTNR:      16666       WKN: I DE000ML0BGQ1        HLG: 01 GS
 ORD-NR:          / SAMMEL-NR:     37                GES-NOM:          10.000
                                                     SUM-NOM:


 ANZ-URKUNDEN  LIT         STUECKELUNG  ANZ-URKUNDEN  LIT         STUECKELUNG




 TEXT:


 MASCHINELLE ZUWEISUNG (J/N): J
 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:16:58 --

 PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF5:Info  PF7:Zurück  PF9:Gebühren
```

Figure 4.20: Full view withdrawal history, denomination of physical certificates - page 3

This screen shows not only the requested denominations or nominals, but also already allocated or withdrawn certificate numbers (until status of final processing). This information can be accessed by pressing PF8 in case of current instructions or PF5 in case of historical instructions.

Note: In case of manual allocation of certificates numbers they will only be displayed if they are really entered into the instruction after deleting from working stock.

```
TRAN: KPHI FC: HA SB: #2013#I########

 CARAD                        HISTORIE AUSLIEFERUNG                      WERTEBEREICH
                             ZUGEWIESENE URKUNDEN

 AUFTNR :      16666           WKN: I DE000ML0BGQ1  HLG: 01 GS
 GES-NOM:           10.000,000

 SAMMEL-   ORD-     NOM-SAMMEL    RAHMEN-NOM      VERAEND-          VERAEND-
     NR      NR            ALT           ALT      NOM-SAMMEL        RAHMEN-NOM
     37       1         10.000        10.000          -10.000
     37       1                       10.000

 -- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:17:16 --

 PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 4.21: Full screen withdrawal history, "Zugewiesene Urkunden" - page 4

For the display of global notes applies:

- The increased or decreased nominal will be shown with arithmetic sign.
- If necessary Global Notes, each with SAMMEL-NR, ORD-NR, RAHMEN-NOM ALT are shown. RAHMEN-NOM ALT complies with the value of the withdrawn securities.
- Transfers of Global Notes between vaults segments will be displayed. The entries for the use of automatic assignment (under certain circumstances) are not included.
- For partial reduction NOM-SAMMEL-ALT and VERAEND-NOM-SAMMEL are applied. VERAEND-NOM-SAMMEL shows the instructed nominal of the reduction of the certificate.
- When withdrawing of up-to certificate without mark down, SAMMEL-NR, ORD-NR and NOM-SAMMEL-ALT are displayed. In addition, even the UP-TO-NOM-ALT is filled. Since this is not a physical withdrawal VERAEND-NOM-SAMMEL will not be displayed.
- In mark down evaluation without withdrawing Up-to certificates the field NOM-SAMMEL-ALT contains the amount of the certificate before the mark down. The field RAHMEN-NOM-ALT contains UP-TO nominal of the certificate and the field VERAEND-NOM-SAMMEL will display the reducing nominal value.
- The process mark down with reductions of RAHMEN NOMINAL (see OAF23-ER U65992 "-automated display of non-valuated interests..."), the NOM-SAMMEL-ALT and RAHMEN-NOM-ALT will display the value of the certificate before the mark down. In the VERAEND-NOM and VERAEND-RAHMEN-NOM the changed face value is displayed, by which these have been changed. Both nominals have to be reduced by the same amount.
- As a result of "Tefra-D transfer of up-to certificate" the mark down of temporary certificates is processed. Consequently the mark up of final certificates is reflected. The nominal for mark down and mark up equals. To document the change in a proper way both certificates mark down (with negative sign) and mark up (with positive sign) will be displayed.
- To withdrawal up-to certificates with nominal greater than zero as a first step nominal needs to be mark down to zero. And than the withdrawal of certificates can be processed. Both processes will be included in the same instruction. To indicate both processes the field NOMINALE-SAMMEL-ALT and also VERAEND-NOM-SAMMEL need to be displayed.

```
TRAN: KPHI FC: HA SB: #7201#I#####01.01.2011#01.03.2011#1#

CARAD                       HISTORIE AUSLIEFERUNG                   WERTEBEREICH
                            ZUGEWIESENE STUECKENUMMERN
AUFTNR     :    605154                              GES-NOM  :         120.000
WKN        : I DE0004775960   ANZ-URK:        12   SUMME-NOM:         120.000
STCKL      :             10.000                    BLOCK-NR :          999999
                                                                        MAN MAN E
  STUECKENUMMERN                                                        GEL GEL
  5872-7,9075,9498-502,









-- ID-KZ: 7999670001 -- PW:          ------ B79075D3 -- 14/02/11 -- 14:09:27 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
```

Figure 4.22: Full screen withdrawal history, assigned certificate numbers physical notes - page 4

Existing "defects of certificates" or replacement flags are shown in the fields MANGEL and E.

If the allocated certificates include certificates coming from block stock, than these certificates numbers will be shown at separate pages that show each block number. The numbers can be found in the field BLOCK-NR.

Note: Before withdrawal of certificates the necessary blocks have to be manually deleted in CARAD. To guarantee proper allocation of the blocks the booking year and withdrawal number of the instruction have to be entered at the deletion screen of CARAD.

```
TRAN: KPHI FC: HA SB: ##W#847102#######

CARAD                      HISTORIE AUSLIEFERUNG                  WERTEBEREICH
                           ZUGEWIESENE STUECKENUMMERN
AUFTNR     :    653001                            GES-NOM  :        255.000
WKN        : I DE0008471020   ANZ-URK:       500  SUMME-NOM:
STCKL      :                  100                 BLOCK-NR :          30060
                                                                    MAN MAN E
  STUECKENUMMERN                                                    GEL GEL
  4007896-8395,









-- ID-KZ: 7907230003 -- PW:          ------ B7907494 -- 09/05/11 -- 08:20:59 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
```

Figure 4.23: Full screen withdrawal history, assigned certificate numbers of block stock - page 4

4.2.1.4 KPHI: Branch from short view into historical view

By entering "H" in the KZ field and pressing enter in the short view of selected instructions all processing statuses of the selected instruction will be shown.

```
 TRAN: KPHI FC: HE SB: ##I#########

CARAD                  HISTORIE EINLIEFERUNGEN                    WERTEBEREICH

JAHR  : &&&&              BUCH-NR:       80                       SEITE:   1
AUFTNR:      1677

                                                          AUSF-       AUSF-
   BEARB-STATUS                                           DATUM       UHRZEIT
   200  EINLIEFERUNG ANGENOMMEN                           08.09.2010  08:00
   500  EINLIEFERUNG VOLLSTAENDIG GEAENDERT               08.09.2010  08:05
   700  EINLIEFERUNG ZUR BUCHUNG FREIGEGEBEN              08.09.2010  09:00
   801  MANTEL-/UNIKATETRESOR HAT NICHT VEREINNAHMT       08.09.2010  09:10
   941  MANTEL-/UNIKATETRESOR HAT STORNIERT               09.09.2010  11:00









-- ID-KZ: 7999670001 -- PW:          ------ B79075D4 -- 10/12/10 -- 14:59:25 --

PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch
```

Figure 4.24: Processing status history

If necessary the text on the processing status will be cut. The full text can be determined using the PF1 help key.

If more processing steps in the history exist than can fit on one page, use PF8 and PF7 to scroll forward and backward.

With PF3 it is possible to get back to the short view. PF4 is the trigger to go back to the screen menu.

With PF1 a help screen with the possible processing status and the accompanying text are displayed.

4.2.1.5 KPHI HA online printing

The list corresponds to the structure of the already existing online printing for the withdrawal history and is illustrated by the example of a global certificate withdrawal.

```
AUSLIEFERUNGSHISTORIE


 ERFASSUNG   : 7999670002   22.03.2011    8:52    AUSGANG     :
 KONTROLLE   : 7999670001   22.03.2011    8:53    7999670001   23.03.2011    8:59
 STUECKDISPO: 7907999999   22.03.2011   15:55
 SENDUNG     : 7999670001   23.03.2011    8:59


 CARAD                       AUSLIEFERUNG / INFORMATION              WERTEBEREICH

 PRIMANOTE:                 AUFTNR:     16666    HLG: 01 GS

 LAST-KTO : 2013 000        CACEIS BANK DEUTSCHLAND GMBH
 GUT-KTO  : 7961 200        CBF TR. B. SVG BIS-ZU URK. GS
 WKN      : I DE000ML0BGQ1 MERRILL LYNCH 07/11 FLR 19.03.G
            W ML0BGQ
 WKN-GLIED.: AUSL. RENTEN
 NOMINALE :          10.000          EINHEIT: ST    ST-ART:
 NOM-URK  :          10.000          UMLEGUNG:
 SET-DAY  : 22.03.2011  AUSLIEF-VERF:  1 PER BANKBOTE
 KUNDENREFERENZ:     -                  -                   AUSG-NR :    137715
 NAECHSTER KUPON/LEG: 19.03.2010
 SAMMELURKUNDE (J/N): J  AUSLIEF-VORG: 2 REVALUTIERUNG AUSLIEFERUNG RU (J/N): J
                                                          ABW-VERSANDADR  (J/N): N
 BEARB-STATUS: 700 ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT
 DISPO-STATUS:   2 STUECKE-DISPOSITION DURCHGEFUEHRT


 NAME        :
 STRASSE     :
 LAND/PLZ/ORT:

 AN ADRESS-NR:           BIC-CODE:                 KTO-STAMM:
 NAME        : CACEIS BANK DEUTSCHLAND GMBH        PLZ/GROK:  80311

 NAMENSZUSATZ:
 STRASSE     : LILIENTHALALLEE 34-36
 PLZ/POSTFACH:
 LAND/PLZ/ORT: D   80939 MUENCHEN
 HINWEISTEXT :



 ORD-NR:          / SAMMEL-NR:     37             GES-NOM  :         10.000
```

```
 SUMME-NOM:

 ANZ-URKUNDEN  LIT          STUECKELUNG  ANZ-URKUNDEN  LIT          STUECKELUNG




 TEXT:



 MASCHINELLE ZUWEISUNG (J/N): J
 VERSICHERUNGSWERT:           1.330.830,00   POST-WERTANGABE:
 ANZ-SENDUNG:  1   GEBUEHREN-BERECHNUNG: J
 SENDUNGS-GRUND    :
Figure 24:On-line printing withdrawal history Mark down  Screen 1

DRUCK ZU AUFTRAGS-NR:      16666                          SEITE:      2
  SU-NR ORD-NR       NOM-SAMMEL  RAHMEN-NOMINALE AEND-NOM-SAMMEL AEND-RAHMEN-NOM
     37      1           10.000           10.000         -10.000
     37      1                0           10.000
```

Figure 4.25: Online printing withdrawal history mark down - page 2

4.2.1.6 Certificate number report automatic allocation

The certificate number report from automatic allocation shows the “Nachweisart” field for global and up-to certificates. The special certificates number reports for physical certificates, partial redemptions and third-party vaults/specialised depositories will not display the “Nachweisart” field.

First all instructions for CBF precious metals vaults will be listed. After that instructions for third-party vaults/specialised depositories will follow.

Within the CBF area (including metal) the sort is valid based on ISIN, HLG, SETTLEMENT-DAY-VORTRAG, AUSG-NR. In the third-party vault/specialised depositories area instructions are sorted by LAST-BANK, ISIN, KUNDEN-REF-LAST, SETTLEMENT-DAY-VORTRAG, AUSG-NR.

Up-to certificate

```
NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG
                       (GLOBALURKUNDEN)
      AUFTNR:    940002       AUSG-NR:  239012    BUCHUNGS-VALUTA: 04.05.2010
PRIMANOTE:  555           AUFTNR:    940002    HLG: 01 GS

LAST-KTO : 7004 000       COMMERZBANK AG
GUT-KTO  : 7960 001       CBF TR. B. GS -NUR MAENTEL-
WKN      : I DE0009807016 HAUSINVEST EUROPA
           W 980701
WKN-GLIED.: INL. IMMOBILIENFONDS
NOMINALE :      4.000.000         EINHEIT: ST    ST-ART: M + B GETRENNT
NOM-URK  :      4.000.000         UMLEGUNG:
SET-DAY  : 03.05.2010  AUSLIEF-VERF:
KUNDENREFERENZ:     -                 -                  AUSG-NR :    39012
NAECHSTER KUPON    :         37
SAMMELURKUNDE (J/N): J  AUSLIEF-VORG: 1 AUSLIEFERUNG   AUSLIEFERUNG RU (J/N): N
                                                       ABW-VERSANDADR  (J/N): N
BEARB-STATUS: 703 ZUWEISUNG ABGESCHLOSSEN
DISPO-STATUS:   2 STUECKE-DISPOSITION DURCHGEFUEHRT
LAND/PLZ/ORT:
AN ADRESS-NR:           BIC-CODE:
NAME         : COMMERZBANK AG W/FRANKFURT U. XET   PLZ/GROK:  60261
               ZTB S 2.11 KONTOABSTIMMUNG/DEVISE
NAMENSZUSATZ:
STRASSE      : MAINZER LANDSTRASSE 277-293
PLZ/POSTFACH: 60005 10 05 05
LAND/PLZ/ORT: D   60326 FRANKFURT AM MAIN
HINWEISTEXT :


 ANZ              NOM-URK  ANZ              NOM-URK  ANZ              NOM-URK
   2            2.000.000




TEXT:


VERSICHERUNGSWERT:        233.334.000,00   POST-WERTANGABE:
ANZ-SENDUNG:  1   GEBUEHREN-BERECHNUNG: J
SENDUNGS-GRUND   :
DRUCK ZU AUFTRAGS-NR:     940002                          SEITE:      1........

ORD-NR:         /  SAMMEL-NR:   1065     NOMINALE-SAMMEL:     2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.

ORD-NR:         /  SAMMEL-NR:   1066     NOMINALE-SAMMEL:     2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.
```

Figure 4.26: Certificate numbers automatic allocation - page 1

```
NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG
                        (GLOBALURKUNDEN)
      AUFTNR:    940002       AUSG-NR:  239012    BUCHUNGS-VALUTA: 04.05.2010
EINGEBER    AUFTNR LAST-KTO WKN          DT.WKN          NOMINALE-URK
  7004      940002 7004 000 DE0009807016 980701       4.000.000

ORD-NR:         /  SAMMEL-NR:   1065     NOMINALE-SAMMEL:     2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.

ORD-NR:         /  SAMMEL-NR:   1066     NOMINALE-SAMMEL:     2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.
```

Figure 4.27: Certificate numbers automatic allocation - page 2

Global certificate

```
NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG
                        (GLOBALURKUNDEN)
      AUFTNR:    940002       AUSG-NR:  239012    BUCHUNGS-VALUTA: 04.05.2010
PRIMANOTE:  555           AUFTNR:    940002    HLG: 01 GS

LAST-KTO : 7004 000       COMMERZBANK AG
GUT-KTO  : 7960 001       CBF TR. B. GS -NUR MAENTEL-
WKN      : I DE0009807016 HAUSINVEST EUROPA
           W 980701
WKN-GLIED.: INL. IMMOBILIENFONDS
NOMINALE :      4.000.000         EINHEIT: ST    ST-ART: M + B GETRENNT
NOM-URK  :      4.000.000         UMLEGUNG:
SET-DAY  : 03.05.2010  AUSLIEF-VERF:
KUNDENREFERENZ:     -                 -                  AUSG-NR :    39012
NAECHSTER KUPON    :         37
SAMMELURKUNDE (J/N): J  AUSLIEF-VORG: 1 AUSLIEFERUNG   AUSLIEFERUNG RU (J/N): N
                                                       ABW-VERSANDADR  (J/N): N
BEARB-STATUS: 703 ZUWEISUNG ABGESCHLOSSEN
DISPO-STATUS:   2 STUECKE-DISPOSITION DURCHGEFUEHRT

NAME        :
STRASSE     :
LAND/PLZ/ORT:
AN ADRESS-NR:           BIC-CODE:
NAME        : COMMERZBANK AG W/FRANKFURT U. XET   PLZ/GROK:  60261
              ZTB S 2.11 KONTOABSTIMMUNG/DEVISE
NAMENSZUSATZ:
STRASSE     : MAINZER LANDSTRASSE 277-293
PLZ/POSTFACH: 60005 10 05 05
LAND/PLZ/ORT: D   60326 FRANKFURT AM MAIN
HINWEISTEXT :


 ANZ              NOM-URK  ANZ              NOM-URK  ANZ              NOM-URK
   2            2.000.000




TEXT:


VERSICHERUNGSWERT:        233.334.000,00   POST-WERTANGABE:
ANZ-SENDUNG:  1   GEBUEHREN-BERECHNUNG: J
SENDUNGS-GRUND   :
DRUCK ZU AUFTRAGS-NR:     940002                          SEITE:      1........

ORD-NR:         /  SAMMEL-NR:   1065     NOMINALE-SAMMEL:     2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.

ORD-NR:         /  SAMMEL-NR:   1066     NOMINALE-SAMMEL:     2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.
```

Figure 4.28: Certificate numbers automatic allocation - page 1

```
 NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG
                  (GLOBALURKUNDEN)
    AUFTNR:   940002     AUSG-NR:  239012   BUCHUNGS-VALUTA: 04.05.2010
EINGEBER   AUFTNR LAST-KTO WKN        DT.WKN       NOMINALE-URK
 7004     940002 7004 000 DE0009807016 980701      4.000.000

ORD-NR:       / SAMMEL-NR:  1065    NOMINALE-SAMMEL:    2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.

ORD-NR:       / SAMMEL-NR:  1066    NOMINALE-SAMMEL:    2.000.000
NACHWEISART: 1  EINLIEF. EFF. URK.
```

Figure 4.29: Certificate numbers automatic allocation - page 1

4.3 Moment of historiography

4.3.1 Deposit

Any delivery processing step will be recorded in history.

4.3.1.1 Online

Processing step:	Processing status:
Control, provided that there is an automatic acceptance or approval of the instruction book.	700
Physical delivery	200
Changes by checkpoints	410, 450, 500
Return to customer	30, 70, 150
Booking approval	700
Reversal of booking approval	522, 523
Booking for immediate processing	801, 802, 803, 821
Instruction successfully booked - re-registration locking up pending	800
Change of representation type/or text at the checkpoint	800 - 943
Full reversal	941, 942, 943
Full deletion	921, 922, 923
Full acceptance	821, 822, 823

4.3.1.2 Batch

Processing step:	Processing status:
Transition to CARAD	990
Automatic acceptance /approval/deletion RS	700
Automatic acceptance	821, 822, 823
Book by standard disposition	801, 802, 803, 821
Deletion on CARAD due to KADI	991
Deletion due to redenomination	999
Booking approval cancelled, inconsistencies with CARAD	523

4.3.2 Withdrawal

4.3.2.1 Online

Processing step:	Processing status:
Check (only individual withdrawal instructions and Mark down instructions with automatic release booking	400, 500
Change of booking If no history entry for the instruction is available, both statuses before and after change are historicised	150, 200, 300
Release	400, 500
Booking for immediate processing	590
Control cancelation	220, 320
Return to customer	210, 310
Manual allocation incomplete	620
Manual Allocation complete	630
Allocation complete	703
Retrieved from E withdrawal - automatic allocation recalled	720
Retrieved from E withdrawal - manual allocation still in place	730
Delivery by securities withdrawal changed	790

4.3.2.2 Batch

Processing step:	Processing status:
Booking by standard disposition	590
Automatic withdrawal release	410, 510
Rejection in automatic allocation	640
Reallocation automatically processed	993
Deletion of a controlled, but not yet booked instruction because of redenomination	999

4.4 Historical data

4.4.1 Deposit/Withdrawal

In addition to pure instruction data, information from the master data is entered in the deposit history if it is necessary for full views or online printouts. As a result, no current master data or captions have to be applied for displaying the historical instructions which may no longer exist or correspond to the respective instructions due to changes.

The instruction can instead be displayed exactly as it was at the point in time when it was recorded.

The overview of all fields planned for the history database is contained in the document data input SDS_DW delivery history.

4.5 Availability of history/Historiography

On the part of CFS was made a requirement that the historical data must be available online at least for 30 business days.

In addition, for reasons of consistency with the online availability of movements history entries, also the deposit records are stored at least for six months.

The experience in the delivery history has shown that this period is sufficient for the vast majority of questions/tests. For earlier research can be used on the digital number ledger "DNB" or microfiche.

Analogous to the withdrawal history are also historical records of deposits, which are older than six months, every six months (April/October) are historicised and deleted from the history and inventory.

The historiography occurs in both types of instructions in the format of the full instruction.

In addition, the data is also made available via file transfer for the Vaults department.

A. Appendix

A.1 Transactions/functions

TRAN	Code	Function
INFORMATION-URKUNDENBESTAND (INFORMATION CERTIFICATE POSITIONS)		
KCKI	IH	Information certificate positions
KCKI	IS	Certificate number search
AUFTRAGS-HISTORIE (ORDER HISTORY)		
KPHI	HE	Deposit history
KPHI	HA	Withdrawal history
REPORTING		
KCSL	AG	List request for all positions
KCSL	AH	List request for working stock
KCSL	AK	List request for customer account

A.2 Certificate positions field description

Field on the screen	Meaning/explanation	Format	Input
BESONDERHEIT-STK or BES-STK	Certificate-specific characteristic • for individual certificates • for global certificates	3-digit numerical	 - optional
Value range	The characteristic attributed to the deposit of individual or global certificates, which differs from securitisation of the entire security. A 35-character explanatory text is also displayed on the screen "Stückenummernsuche" (Certificate number search). See Table of certificate-specific characteristics ((CKC9T03) on page A -9		
EINLIEF-GRUND (DEPOSIT REASON)	Deposit reason	1-character numerical	
	Deposit reason from the deposit order		
ERSATZSTUECK (REPLACEMENT CERTIFICATE) or E	Replacement certificate	1-character alphanumerical	-
Value range	This field provides information as to whether the certificate is a replacement or reprint certificate. Corresponding certification is enclosed with reprint certificates. If no mark is present, then the original certificate is concerned. "E" = Replacement certificate "Blank" = Not a replacement certificate - original certificate		
FC	Function code	2-character alphanumerical	required
	The function code for the desired activity must be entered here. The user can make a selection in the displayed menu or enter a known function code (expert access), see Transactions/functions on page A -1.		
GES-RAHMEN-NOM (TOTAL UP-TO NOMINAL)	Total up-to nominals	12-digit numerical	-
	The sum of the up-to nominals of all existing global certificates (up-to) of a security for the CARAD custody type in the existing CARAD positions is determined and displayed.		
GES-NOM-OFFENE (TOTAL PENDING NOMINAL)	Total pending nominal	12-digit numerical	-
	The difference between the up-to nominal and validated nominal (collective nominal) is shown on the tabular overview KCKI/IH and the detailed display. For the readout on the tabular overview, the difference is calculated from the sum of the Up-To nominal less the sum of the nominal for all global certificates less the sum of the dispositive nominals less the assigned nominals. On the screen of the individual certificates, the difference is calculated from the up-to nominals minus nominals of the certificates minus dispositive nominals.		
HINTERLEG.ART (deposit type) or HINTERLEGUNGS-ART	Deposit type • Vault type • Custody type CARAD • Text	 1-character alphanumerical 2-digit numerical 35-character alphanumerical	 required required -

Field on the screen	Meaning/explanation	Format	Input
Value range	The first 1-character field contains the vault type. This defines whether it concerns a Mantel (corpus) vault, Bogen (coupon sheet) vault or Unikatetresor (single sheet vault). The CARAD custody type is in the 2nd field. This provides information on how the certificates are deposited with CBF. An explanatory text is displayed for the CARAD custody type. For reasons of space, there is only a 16-character display of this on some screens. See Table for deposit type/custody type (CKC9T05) on page A -10		
ID-KZ (ID)	Identification indicator	10-digit numerical	required
	When logging on in the dialogue, this field must be entered with the personal identification indicator.		
MERKMAL (CHARACTERISTIC) MERKMAL SAMMELURKUNDE (CHARACTERISITC GLOBAL CERTIFICATE)	Characteristic mark • Corpus/single sheet • Coupon sheet	 1-character alphanumerical 1-character alphanumerical	 - -
	The KZ-MERKMAL (CHARACTERISTIC MARK) specifies whether certificates with characteristics exists for a processing unit or whether a global certificate has characteristics. The content of the 1st field concerns the corpus/single sheet vault (M/U). The content of the 2nd field refers to the coupon-sheet vault (B). Characteristics, which apply to both vaults (replacement certificate, certificate-specific characteristic, divergent security designation and stop order) are displayed in both fields. The readout occurs based on a defined priority (see value range, "0" has the highest priority). This also means that certificate-specific characteristics may be contained which have a higher priority. If certificate numbers are only maintained in one of the vaults (M/U or B), then the field for the other vault is displayed as "blank". With the information: Both of these fields provide information on the characteristics of the certificates (individual or collective certificates).		
Value range for individual certificates	leer (blank)	No certificates present	
	-	No characteristics	
	0	Blocked certificate(s) (may also be M, E or N, B, G and K)	
	M	Lack certificate(s) (may also be E or N, B, G and K)	
	E	Replacement certificate(s) (may also be B, G and K)	
	B	Certificate-specific characteristic(s) (may also be G, K and N)	
	G	Divergent security designation (may also be K and N)	
	K	Coupon with divergent certificate number (may also be N). This indicator is only relevant for the coupon sheet vault.	
	N	Reprint certificate	

Field on the screen	Meaning/explanation	Format	Input
	Examples:		
	M/U B		
	0 0	Stop order in place.	
		Applies for corpus/single sheets and coupon sheet	
	M -	Lack certificate(s) present in the corpus/single sheet vault (may also be E, B, G and K). No characteristics in the coupon sheet vault	
	E M	Replacement certificate(s) present in the corpus/ single sheet vault (may also be B, G and K). Lack certificate(s) present in the coupon sheet vault. (may also be E, B, G and K).	
Value range for global certificates	leer blank	No certificates present	
	-	No characteristics	
	0	Blocked certificate(s) (may also be B and G)	
	B	Certificate-specific characteristic(s) (may also be G)	
	G	Divergent security designation	
Examples:			
	M/U B		
	B	Certificate-specific Characteristic present	
	0	stop order. (may also be B and G)	
LIT	literal for the denomination	2-character alphanumerical	optional
	The literal for the denomination is entered and/or displayed in this field. (also see field characteristics)		
MANGEL (LACK) or Mangel	Lack	3-digit numerical	-
Value range	If a lack is entered or a stop order exists for a certificate number, the corresponding key is displayed here. An additional 35-character explanatory text is displayed during the certificate number search. See annex: Table for lack reason (stop order and lack) (CKC9T08) For all other global certificates: The nominal value of the global certificate is displayed in this field		
NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED)	Dispositive nominal	12-digit numerical	
	Contains the order nominal for valuation as long as the order has not yet been transferred to CARAD.		
NOMINALE-OFFEN (PENDING NOMINAL)	pending nominal yet to be valuated	12-digit numerical	
	The difference between the up-to nominal and validated nominal (collective nominal) is shown on the tabular overview KCKI/IH and the detailed display. For the readout on the tabular overview, the difference is calculated from the sum of the Up-To nominal less the sum of the nominal for all global certificates less the sum of the dispositive nominals less the assigned nominals. On the screen of the individual certificates, the difference is calculated from the up-to nominals minus nominals of the certificates minus dispositive nominals.		

Field on the screen	Meaning/explanation	Format	Input
NOM-SAMMEL (NOMINAL GLOBAL CERTIFICATE)	Global certificate nominal	12-digit numerical	
	The GLOBAL CERTIFICATE NOMINAL indicates the nominals securitised by a global certificate. This is displayed without decimal places if the content is "zero". For global certificates the valuated part of the Up-To nominal is entered in this field. For all other global certificates: The nominal value recorded on the global certificate is entered in this field.		
OPPO GRUND (STOP ORDER REASON)	Stop-order reason	3-digit numerical	-
Value range	If the certificate entered has a stop order, the corresponding key is displayed in this field. See Table for lack reason (stop order and lack) (CKC9T08) on page A -11.		
ORD-NR (ORG NUMBER)	Organisation number	6-digit numerical	optional
	(see ORD-/SAMMEL-NR)		
ORD-/SAMMEL-NR (ORG/COLLECTIVE NUMBER)	Organisation number Global certificate number	6-digit numerical 6-digit numerical	optional -
	Organisation number: The internal number of the issuer that is contained in the collective certificate (technical collective certificate, scrip, interim global certificate or permanent global certificate) is to be entered in this field.		
	Collective number: All collective certificates are provided by the system with a consecutive number, which is unique within a WKN. Collective numbers that become free as a result of the removal are initially not reassigned.		
PW	Password	8-digit numerical	required
	The personal password must be entered in this field.		
RAHMEN-NOMINALE (UP-TO NOMINAL)	Up-To nominal	12-digit numerical	-
	The Up-To nominal is the nominal of a global certificate (up-to) that represents the limit for the mark up of a global certificate (up-to). There may be multiple global certificates (up-to) within a security. The total for the Up-To nominals in a security for one location mark and CARAD custody type is displayed in the field GES-RAHMEN-NOM.		
SAMMEL-NR (COLLECTIVE NUMBER)	Collective certificate number (see ORD-/SAMMEL-NR)	6-digit numerical	-
SAMMELURKUNDE (J/N) (GLOBAL CERTIFICATE)	Global certificate (yes/no)	1-character alphanumerical	required

Field on the screen	Meaning/explanation	Format	Input
Value range	The entry in this field is not taken into account for further processing for securities, which are only deposited at CBF as individual or only as global certificates. For securities, where individual and global certificates are possible, the entry in this field is decisive (global certificate group "Technical global certificates" and for a transitional period, also "scrips" and "IGL"). For entry: This field indicates whether the certificate is a global certificate. On the selection screens: The entry in this field determines whether only the global certificates are considered in the analysis ("Y") or whether the global certificates are excluded ("N"), meaning that only individual certificates are considered.		
Preset	No preset		
SB	Search term	56-character alphanumerical	optional
	The entries from the selection screen are displayed in this field, whereupon "#" is a delimiter for the individual fields. The content can be overwritten. The entries (for the selection) may be directly entered in this field (expert access).		
SEITE (PAGE)	Page	3-digit numerical	-
ST	Global certificate status	1-character alphanumerical	
	The status provides information on the current status of the global certificate		
	T K Z	Partially entered Verified Assigned	
STATUS	Status indicator • Code • Text	 3-digit numerical 15-character alphanumerical	 optional -
Value range	The status provides information on the current status of the certificate number in the positions. It is updated by the computer. Currently all certificate numbers are entered as KONTROLLIERT (VERIFIED). Global certificates are marked as TEILERFASST (PARTIALLY ENTERED) until all certificate numbers have been entered. The certificates themselves are entered with the status KONTROLLIERT (VERIFIED). If the nominal of the entered securities corresponds to the entered nominal, the status of the global certificate is set to KONTROLLIERT (VERIFIED). Global certificates, for which certificate numbers are not mandatory, are first saved under the status KONTROLLIERT (VERIFIED). If certificate numbers are entered subsequently, the procedure is the same as above. The status can be entered in the selection screens in order to select the certificate numbers for a certain status. An explanatory text is displayed for the key in the information.		
	200	TEILERFASST (PARTIALLY ENTERED) Not all certificate numbers for the global certificate have been entered. (Only possible for global certificates)	
	500	KONTROLLIERT (VERIFIED) Verified certificate number	
	562	KONTR. W/MAN ZUWEISUNG GESP (VERIFIED WITH MAN ASSIGNMENT BLOCKED) Verified, blocked certificate number due to manual assignment to a withdrawal order	
	563	KONTR W/MASCH ZUWEISUNG GESP. (VERIFIED W/AUTOMATIC ASSIGNMENT BLOCKED) Verified, blocked certificate number due to automatic assignment	
	Only possible as entry in the selection screen:		

Field on the screen	Meaning/explanation	Format	Input
	leer (blank)	ALL All certificate numbers	
STUECKEART (SECURITIES TYPE)	Securities type • Code • Text	 3-digit numerical 20-character alphanumerical	 - -
Value range	The type of certificate printout is indicated by this key. The key and text are determined from WSS (TAB-G20) and displayed. See WSS Table: Sonderheiten-Stückeart (characteristics certificate type) (TAB G20) on page A -23.		
STUECKELUNG (DENOMINATION)	Denomination • Literal • Denomination	 2-character alphanumerical 12-digit numerical	 optional required for entry
	The first two offset positions are for entering the literal (also see Feldbesonderheiten Stückenummern). The denomination must be entered in the second field (share of nominal amount of the issue). The nominal is entered in this field for certificates without certificate numbers.		
STUECKE-NUMMERN (CERTIFICATE NUMBERS) (VERBRIEFTE URKUNDEN) (SECURITISED CERTIFICATES)	Certificate numbers • Individual certificates • Global certificates	79-character alphanumerical or 58-character alphanumerical 52-character alphanumerical	required
STUECKENUMMER (CERTIFICATE NUMBER)	Certificate number	30-character alphanumerical	required
	For the information: Display of the certificate numbers in the continuous text including delimiters (n times 72 positions); in the certificate characteristic screen (n times 58 positions) and for global certificates (n times 52 positions). In the selection screen: Information online: (30-character) The certificate number in the search is entered in this field (also global numbers, for example 1/20).		
VERWAHRMOEGL/ ART oder VERWAHR-MOEGL: (CUSTODY OPTION/ TYPE or CUSTODY OPTION)	Custody option/custody type • Key • Text	 3-digit numerical 20-character alphanumerical	 - -
	This field describes the certificate type deposited at CBF for the respective ISIN. There is a 3-character keyword and a 20-character explanatory text. Both values are obtained from WSS (table G16). The field is related to the field SECURITIES TYPE. In some screens, the explanatory text is shortened to 16 characters. See WSS Custody Option (TAB G16) on page A -20		

Field on the screen	Meaning/explanation	Format	Input
WKN	Securities identification number		
	• WP-Kennung (securities identification)	1-character alphanumerical	required
	• WKN	12-character alphanumerical	required
	• WKN-Bezeichnung (securities description)	35-character alphanumerical	-
	The WKN is specified in the first 1-character field. This is always an "I" (ISIN) with CARAD. The mark for the securities security is entered in the 2nd field. The field in the screens comprises 12 characters in order to allow entry of the ISIN. The WKN-Bezeichnung (Securities description) is automatically obtained from WSS and displayed. This may not be displayed in some screens for space reasons.		

A.3 Code table specifications

A.3.1 CARAD code tables

A.3.1.1 Table of certificate-specific characteristics ((CKC9T03)

Code	Explanation
1	NORMALER BLOCK (Normal block package)
2	BOGENLOS (No coupon sheet)
3	NUR MANTEL, KEIN BOGENAUSDRUCK (Corpus only, no coupon sheet printout)
4	EINZELURKUNDE, MANTEL/GLOBALBOGEN (Individual certificate, corpus/global coupon sheet)
5	MANTEL, BOGEN, ZESSION (Corpus, coupon sheet, assignment)
6	MANTEL, TALON, ZESSION (Corpus, talon, assignment)
7	BLOCK MANUELL ERFASST (block package entered manually)
8	BLOCK AUS HANDBESTAND (Block package from working stock)
14	M + B GETRENNT (Corpus + coupon sheet separated)
15	NUR MANTEL (Corpus only)
16	UNIKAT (Single sheet)
17	UNITS
18	CF- UND K-STUKKEN (CF AND K CERTIFICATES)
19	CF-STUKKEN (CF certificates)
20	TECHN.GLOBALURK. M.BOG. (MAN.ERST.) (Technical global certificate with coupon sheet (manual initial entry))
21	TECHN.GLOBALURK. O.BOG. (MAN.ERST.) (Technical global certificate without coupon sheet (manual initial entry))
22	TECHN.GLOBALURK. M.BOG. (MAN.ERST.) (Technical global certificate with coupon sheet (manual initial entry)
23	TECHN.GLOBALURK. O.BOG. (LIEFERBAR) (Technical global certificate without coupon sheet (available))
24	MIT BOGEN (with coupon sheet)
25	OHNE BOGEN (without coupon sheet)
26	JGS OHNE BOGEN (Scrip without coupon sheet)
27	FESTSCHREIBUNG (Locking up)
28	NUR BOGEN (Coupon sheet only)
29	MANTEL,ZESSION (Corpus, assignment)
30	BOGEN, ZESSION (Coupon sheet, assignment)

Code	Explanation
31	MANTEL,BOGEN,ZESSION,ABTRETUNG(en) (Corpus, sheet coupon, assignment, assignment(s))
32	MANTEL,ZESSION,ABTRETUNG(EN) (Corpus, assignment, assignment(s))
33	BOGEN,ZESSION,ABTRETUNG(EN) (Coupon sheet, assignment, assignment(s))
34	ZESSION,ABTRETUNG(EN) (assignment, assignment(s))
35	ZESSION (ASSIGNMENT)
36	ABTRETUNG(EN) (Assignment(s))
37	MIT GEWINNANTEILSSCHEIN (With coupon)
38	MÖGLICHER BEZUG VON URKUNDEN (Possible subscription to certificates)
50	NICHT VALUTIERT (Not validated)
97	UMDEUTUNG GU/RU (REINTERPRETATION OF GC)
98	REINTERPRETATION DUE TO 670

A.3.1.2 Table for deposit type/custody type (CKC9T05)

*WORKING STOCK: VERWAHRART-CARAD (CARAD custody type)

Code	Explanation
1	GS (collective safe custody)
3	GS VORRATSL. BANK (Collective safe custody specialised deposit bank)
10	HAUSSAMMELVERWAHRUNG (in-house collective custody)
20	LAGERSTELLE (depository)
22	TREUHAND CBF (trustee CBF)
30	FREMDTRESOR (Third party vault)
40	EDELMETALL (precious metal)
92	DOKUMENTENVERWAHRUNG (document safe custody)

A.3.1.3 Table for lack reason (stop order and lack) (CKC9T08)

WSS code	WM code	Lack reason
OPPOSITION (stop order)		
0		Not specified
1	A	Public notice
2	B	Public notice, payment block
3	C	Cancellation public notice
4	D	Theft/burglary
5	F	from a foreign stopping list
6		From the international list of blocked securities
7	K	Cancellation Aktiengesellschaft (joint stock corporation)
8	L	Cancellation of notice of loss
9	M	Cancellation of a public notice
10	N	Cancellation of a payment block
11	O	Cancellation of a notice and a payment block
12	T	Complete forgery possible
13	V	Loss, no information provided
14	X	Loss in the mail
15	Z	Payment block
16	W	Loss
17	U	Complete forgery possible
18	P	Public notice
19	Y	Payment block
20	Q	Public notice/payment block – exchange
21	R	Cancellation, public notice
22	S	Cancellation of a public notice and a payment block
23		From the international list of blocked securities
24	G	from a foreign stopping list
25	E	see text information
26	H	Cancellation according to foreign law
27	J	Cancellation according to foreign law (replacement certificates have been issued, certificate numbers remain blocked)(Ersatzurkunden sind ausgestellt, Stückenummern bleiben gesperrt)
28	I	Notice period expired, no exclusory judgement (certificate numbers remain blocked)
29	1	Inclusion in the new ISIN/WKN
LACK		
51		Old certificates with literal

WSS code	WM code	Lack reason
52		Corruption of custody data
53		Damage to control or trustee signatures
54		Coupon damaged
55		Certificates, which cannot be delivered, with deposit benefiting foreign central depositories
56		Roll over with stamp
57		Sealed
58		Stapled
61		Coupon-sized punch outs
62		Tears such that the guilloches are damaged
63		Rips and cuts beyond the middle of the certificate
64		Registered certificates
70		deposit not reasonable
71		Certificate number deviating from the certificate
72		Certificate number deviating from the coupon sheet
81		Physical corpus/global coupon sheet
82		Global corpus/physical coupon sheet
83		Liability statement of depositor
91		Liability statement of CBF

A.3.2 D/W code tables

A.3.2.1 Table: AUFTRAGSART (ORDER TYPE)

DESCRIPTION
Order type is a fixed form of instruction to the securities depository, for example, a withdrawal.

Screen	Text	Meaning
01	WP-UEBERTRAG/REPO-AUFTRAG (securities transfer/repo-order)	Securities transfer carried out free of and against payment / Repo-order against payment
02	MATCH-INSTR /REPO-INSTRUKTION (matching-instruction /repo-instruction)	Matching-instruction /Repo-instruction
03	SV-UEBERTRAG (SV TRANSFER)	BSV/LSV transfer
04	VERPFAENDUNG (PLEDGE)	Pledge
05	APPROVAL	Approval of pledges/collateral
07	UMTAUSCH (EXCHANGE)	GBC exchange
09	RUECKTAUSCH (RE-EXCHANGE)	GBC re-exchange
10	LIEFERBESTAND (DELIVERY BALANCE)	Delivery balance (stock exchange transactions)
11	WP-LEIHE (Securities assignment)	Securities assignment order
12	WPL-RUECKFUEH (Securities assignment repayment)	Securities assignment repayment
13	KADI-SONDPRO (Corporate actions special commission)	Proceeds from corporate actions special commission
14	STRIP-AUFTEILUNG (STRIP SPLIT)	Splitting of a bond with warrant (cum) into a corpus and individual interest coupons
15	STRIP-ZUSAMMENFUHERUNG (Strip merger)	Merger of a corpus and individual interest coupons into a bond with warrant (cum)
16	EINLIEFERUNG (Deposit)	Deposit
17	OPTIONSSCHEIN- TRENNUNG (Warrant split)	Splitting of bonds with warrants (cum) into a bond without warrant ex bond and a simple warrant
18	AUSLIEFERUNG (Withdrawal)	Withdrawal
19	OPTIONSSCHEIN-ZUSAMMENFUEHRUNG (Warrant merger)	Merger of bond without warrant (ex) and warrant into a bond with warrant (cum)
20	RUECK-AUFTRAG (return order)	REPO-return order
21	RUECK-INSTRUKTION (return instruction)	REPO-return instruction
99	STORNO-NACHB (Subsequent cancellation order)	Cancellation/follow-up booking securities account (only CBF allowed)

A.3.2.2 Table: Bearbeitungsstatus Auslieferung (processing status of withdrawal) (CEA9T07)

Code	Explanation
10	AUSLIEFERUNG NICHT VOLLSTAENDIG ERFASST (Withdrawal record incomplete)
100	AUSLIEFERUNG VOLLSTAENDIG ERFASST (Withdrawal record complete)
150	AUSLIEFERUNGSAUFTRAG KONTROLLIERT (Withdrawal order verified)
200	AUSLIEFERUNG IN KPZS VOLLSTAENDIG GEAENDERT (Withdrawal in KPZS changed completely)
210	AUSLIEFERUNG IN KPZS ZUR RUECKGABE GENERIERT (Withdrawal generated in KPZS for return)
220	BUCHUNGSFREIGABE IN KPZS ZURUECKGENOMMEN (Booking release in KPZS withdrawn)
300	AUSLIEFERUNG IN KPZS VOLLSTAENDIG GEAENDERT (Withdrawal in KPZS changed completely)
310	AUSLIEFERUNG IN KPZS ZUR RUECKGABE GENERIERT (Withdrawal generated in KPZS for return)
320	BUCHUNGSFREIGABE IN KPZS ZURUECKGENOMMEN (Booking release in KPZS withdrawn)
400	AUSLIEFERUNG ZUR BUCHUNG FREIGEGEBEN (Withdrawal for booking released)
410	ABGELEHNT IN DISPOSITION/ZURUECK IN KPZS (Rejected in disposal /back to KPZS)
500	AUSLIEFERUNG ZUR BUCHUNG FREIGEGEBEN (Withdrawal for booking released)
510	ABGELEHNT IN DISPOSITION/ZURUECK IN KPZS (Rejected in disposal/back to KPZS)
590	AUFTRAG ERFOLGREICH GEBUCHT (Order successfully posted)
610	AUSLIEFERUNG GELOESCHT (Withdrawal deleted)
620	MANUELLE ZUWEISUNG UNVOLLSTAENDIG (Manual allocation incomplete)
630	MANUELLE ZUWEISUNG VOLLSTAENDIG (Manual allocation complete)
640	ABGELEHNT IN MASCHINELLER ZUWEISUNG (Rejected in automatic allocation)
650	AUSLIEFERUNG STORNIERT (Withdrawal cancelled)
700	ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT (All deliveries sent by means of a securities withdrawal)
701	NOCH TEILSENDUNGEN OFFEN (Partial deliveries still pending)
702	ALLE SENDUNGEN AUSGELIEFERT, AUFTRAG IST ZU LOESCHEN (All deliveries sent, order must be deleted)
703	ZUWEISUNG ABGESCHLOSSEN (Allocation complete)
720	VOM E-AUSGANG ZURUECKGEN. (Retrieved from securities withdrawal) - MASCH. ZUWEISUNG ZURUECKGENOM. (Automatic allocation recalled)

Code	Explanation
730	VOM E-AUSGANG ZURUECKGEN. (Retrieved from securities withdrawal) - MAN. ZUWEISUNG NOCH VORHANDEN (Manual allocation still in place)
750	KEINE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG ERFORDERLICH (No delivery by securities withdrawal necessary)
790	AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEAENDERT (Delivery by securities withdrawal changed)
791	ENDBEARBEITETE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEAENDERT (completely processed delivery by securities withdrawal changed)
792	HISTORISCHE AUSLIEFERUNG IN KPHI GEAENDERT (Historical withdrawal in KPHI changed)
993	UMLEGUNG AUTOMATISCH ENDBEARBEITET (Reallocation automatically processed)
999	LOESCHUNG WG. REDENOMINATION (Deletion due to redenomination)

A.3.2.3 Table: Bearbeitungsstatus Einlieferung (processing status of deposit) (CEA9T04)

Code	Explanation
10	EINLIEFERUNG TEILERFASST - ZU WENIG STUECKE (Deposit entered in part – insufficient certificates)
30	EINL. Z. RUECKGABE GENERIERT, ZU WENIG STUECKE (Deposit for return generated, insufficient certificates)
50	EINLIEFERUNG TEILERFASST - ZU VIELE STUECKE (Deposit entered in part – too many certificates)
70	EINL. Z. RUECKGABE GENERIERT, ZU VIELE STUECKE (Deposit for return generated, too many certificates)
100	EINLIEFERUNG VOLLSTAENDIG ERFASST (Deposit entry complete)
150	EINLIEFERUNG ZUR RUECKGABE GENERIERT (Deposit for return generated)
200	EINLIEFERUNG ANGENOMMEN (Deposit accepted)
410	EINLIEFERUNG GEAENDERT - ZU WENIG STUECKE (Deposit changed - insufficient certificates)
450	EINLIEFERUNG GEAENDERT - ZU VIELE STUECKE (Deposit changed - too many certificates)
500	EINLIEFERUNG VOLLSTAENDIG GEAENDERT (Deposit changed completely)
522	BUCHUNGSFREIGABE ONLINE ZURUECKGENOMMEN (Booking release recalled online)
523	BUCHUNGSFREIGABE ZURUECKGENOMMEN, INKONSISTENZEN MIT CARAD (Booking release recalled, inconsistencies with CARAD)
550	TEXTINFORMATION ZUM AUFTRAG BEARBEITET (Text information of order processed)
700	EINLIEFERUNG ZUR BUCHUNG FREIGEGEBEN (Deposit released for booking)
701	ZUSTIMMUNG ZUR EINLIEFERUNG ERTEILT (Consent granted for deposit)
800	AUFTRAG ERFOLGREICH GEBUCHT – UM-/FESTSCHREIBUNG AUSSTEHEND (Order successfully booked – re-registration/ locking up pending)
801	MANTEL-/UNIKATETRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR (Not received by corpus/single sheet vault, no counter vault)
802	BOGENTRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR (Not received by coupon sheet vault, no counter vault)
803	MANTEL-/UNIKATE- UND BOGENTRESOR HABEN NICHT VEREINNAHMT (Not received by corpus/sheet and coupon sheet vault)
811	MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, BOGENTRESOR NICHT (Received by corpus/single sheet vault, not received by coupon sheet vault)
812	BOGENTRESOR HAT VEREINNAHMT, MANTEL/UNIKATETRESOR NICHT (Received by coupon sheet vault, not received by corpus/ single sheet vault)

Code	Explanation
821	MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR (Received by corpus/single sheet vault, no counter vault)
822	BOGENTRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR (Received by coupon sheet vault, no counter vault)
823	MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN VEREINNAHMT (Received by corpus/single sheet and coupon sheet vault)
911	MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, BOGENTRESOR NICHT (Received by corpus/single sheet vault, not received by coupon sheet vault)
912	BOGENTRESOR HAT GELOESCHT, MANTEL/UNIKATETRESOR NICHT (Deleted by coupon sheet vault, not deleted by corpus/ single sheet vault)
921	MANTEL-/UNIKATETRESOR HAT GELOESCHT, KEIN GEGENTRESOR (Deleted by corpus/single sheet vault, no counter vault)
922	BOGENTRESOR HAT GELOESCHT, KEIN GEGENTRESOR (Deleted by coupon sheet vault, no counter vault)
923	MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN GELOESCHT (Deleted by corpus/single sheet vault and coupon sheet vault)
931	MANTEL-/UNIKATETRESOR HAT STORNIERT, BOGENTRESOR NICHT (Cancelled by corpus/single sheet vault, not cancelled by coupon sheet vault)
932	BOGENTRESOR HAT STORNIERT, MANTEL/UNIKATETRESOR NICHT (Cancelled by coupon sheet vault, not cancelled by corpus/ single sheet vault)
941	MANTEL-/UNIKATETRESOR HAT STORNIERT, KEIN GEGENTRESOR (Cancelled by corpus/single sheet vault, no counter vault)
942	BOGENTRESOR HAT STORNIERT, KEIN GEGENTRESOR (Cancelled by sheet vault, no counter vault)
943	MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN STORNIERT (Cancelled by corpus/single sheet vault and coupon sheet vault)
990	UEBERLEITUNG NACH CARAD (Transfer to CARAD)
991	LOESCHUNG WG. KADI AUF CARAD (Deletion on CARAD due to KADI)
999	LOESCHUNG WG. REDENOMINATION (Deletion due to redenomination)

A.3.2.4 Table: EINLIEF-ART (delivery type) (CEA9T01)

Code	Explanation
1	LFD. EINLIEFERUNG (Current deposit)
2	NEUZULASSUNG GLOBAL (New admission global)
3	NEUZULASSUNG RU (New admission global certificate (up-to))
4	NEUZULASSUNG VAL. (New admission validated) RU (global certificate)
5	VALUTIERUNG (Mark up)

A.3.2.5 Table: KZ-NACHWEISART (indicator evidence type) (CEA9T05)

Code	Explanation
1	EINLIEF. EFF. URK. (deposit of security certificates)
2	URK. LIEGEN VOR (present)
3	URK. VON DRUCK./EM. (Certificate from printing press or issuer)
4	OHNE URKUNDEN (without certificates)
5	EFF. URK. U. ZESSION (security certificates and assignment)
6	UM-/FESTSCHREIBUNG (Re-registration/locking up)
7	ZESSION FEHLT (assignment missing)
8	EINLIEF EDT (Deposit EDT)
9	EDELMETALL (Precious metal)

A.3.2.6 Table: EINLIEF-GRUND (deposit reason) (CEA9T02)

Code	Explanation
1	AUS EMISSION (from issue)
2	KE gegen Einlage (Increase in share capital in exchange for cash contributions)
3	KE-BEDINGT (depending on capital increase)
4	RU ERSTEINLIEF. VNA (GC (up-to) initial deposit)
5	URKUNDENUMTAUSCH (certificate exchange)
6	ERSTBELIEFERUNG (initial delivery)
7	GRATISAKTIEN KE-UNBE (bonus shares capital increase - unknown)
8	SPERRE, REVAL. MOEGL. (Lock, mark down possible)

A.3.2.7 Table: AUSLIEFERUNGSVERFAHREN (withdrawal procedure) (CEA9T08)

Code	Explanation
1	PER BANKBOTE (via bank messenger)
2	PER CONTAINER (via container)
3	PER WERTPOST (via valuable-goods post)
4	DHL WERTTRANS (DHL transport of valuables)
5	BRINKS WERTTRANS (Brinks transport of valuables)
6	AUSL.WG. KADI (foreign currency KADI)
7	VERNICHTUNG (destruction)
8	STORNO (cancellation)
9	KEINE AUSLIEF. (no withdrawal)

A.3.2.8 Table: KZ-Umlegung (KZ transfer) (CEA9T09))

Code	Explanation
1	VL IN GS
2	GS IN VL
3	GS IN FTB
4	FTB IN GS
5	FTB IN FTB

A.3.2.9 Table: KZ-AUSLIEF-VORG (WITHDRAWAL PROCESS ID) (CEA9T10)

Code	Explanation
1	AUSLIEFERUNG (Withdrawal)
2	REVALUTIERUNG (mark down)
3	TEILREDUZIER. (partial reduction)

A.3.2.10 Table: Interne Auftragsart Einlieferung (internal order type deposit) (CEA9T03)

Code	Internal order type (IAA)
1	LFD. EINLIEFERUNG (Current deposit)
2	NEUZULASSUNG GLOBALURKUNDE (securities admission global certificate)
3	NEUZULASSUNG RAHMENURKUNDE (new admission global certificate (up-to))
4	NEUZULASSUNG VALUTIERTE RAHMENURKUNDE (new admission valuated global certificate (up-to))
5	VALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE (validation with automatic book entry approval)
6	VALUTIERUNG (Mark up)

A.3.2.11 Table: Interne Auftragsart Auslieferung (internal order type withdrawal) (CEA9T06)

KZ	Internal order type (IAA)
1	AUSLIEFERUNG EINZELURKUNDE (Withdrawal of individual certificate)
2	REVALUTIERUNG (revaluation)
3	AUSLIEFERUNG RAHMENURKUNDE (Withdrawal of global certificate (up-to))
4	REVALUTIERUNG MIT AUSLIEFERUNG RAHMENURKUNDE (markdown with withdrawal of global certificate (up-to))
5	AUSLIEFERUNG STUECKELOSE GLOBALURKUNDE (Withdrawal of global certificate without certificate numbers)
6	AUSLIEFERUNG TECHNISCHE GLOBALURKUNDE (Withdrawal of technical global certificate)
7	TEILREDUZIERUNG (partial reduction)
8	VALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE (Markup with automatic booking authorisation)

A.3.3 WSS code tables

A.3.3.1 WSS Custody Option (TAB G16)

Codes 91 - 99 reserved for internal bank use; there is no assignment of WM implementation of custody possibility in custody type.

WSS/WM	Custody type	Custody type number	Display	Explanation
0				no field entry
1	GS (collective safe custody)	001	JGS BIS ERSCH. (scrip until appearance)	Scrip account until the appearance of the shares
2	GS	001	JGS BIS EINLIEF. (scrip until deposit)	Scrip account, without certificate numbers after deposit of the global certificate(s)
3	GS	001	SVG GS	A global certificate for the entire term
5	GS	001	IGL GS	Interim global certificate until the appearance of the shares
6	GS	001	STV	CSC debt ledger – collection of debt ledger outstanding amounts possible
7	GS	001	STV	CSC debt ledger – individual debt ledger debt not possible
8	GS	001	SVG INH.SAMMELZ.DBC (SVG BEARER GLOBAL CERTIFICATE.DBC)	Co-ownership share of bearer global certificate from Deutsche Börse Clearing AG
9	GS	001	GIROSAMMELVERW. (Collective safe custody)	

WSS/WM	Custody type	Custody type number	Display	Explanation
10	GS	001	NGS (Non collective safe custody)	
11	GS	001	GS, STUECKELOS (CSC, without certificates)	Collective safe custody, only available in the form of CF certificates
12	GS	001	TGL TECHN.GLOBALURK (technical global certificate)	CSC custody technical global certificate (individual certificates not eligible for CSC could be in circulation).
13	GS	001	GS-Verwahrung/direkt (Collective safe custody/ direct)	CSC, Central deposit, Direct deposit
14	GS	001	GS, RAHMENURK.BIS-ZU (Collective safe custody, global certificate (up-to))	Collective safe custody, global certificate (up-to) for the entire term
15	GS	001	GS,INT.RA.URK.BIS-ZU (Collective Safe Custody, International global certificate (up-to))	collective safe custody, interim global certificate (up-to), until the issue of the certificates
16	GS	001	GS, TECHN.GLOBALURK. (collective safe custody, technical global certificate)	(collective safe custody, technical global certificate (up-to)
19	GS	001	MITEIGENTUM SH.CERT (co-ownership share cert)	
20	STR	002	STREIFBANDVERWAHRUNG (jacket custody)	
21	STR	002	STR PER ERSCHEINEN (jacket custody via appearance)	Jacket custody via appearance
22	STR	002	STR, NUR GLOBALURK. (jacket custody, only global certificates)	In-house collective safe custody
23	STR	002	SCHULDBUCHEINTRAGUNG (debt register entry)	Debt register entry, no CSC custody
24	STR	002	NUR DEPOTM.EINBUCHG. (only deposit-related entry)	Only entry related to security account (no physical certificates, no global certificates)
40	WPR	003	WPR (LIEFERBAR) (trustee business (deliverable))	Trustee business (shares physically deliverable)
41	AKV	004	DBC-AUSLAND,LIEFERB. (DBC foreign, deliverable)	Security accepted by Deutsche Boerse Clearing AG (physically deliverable)
42	AKV	004	CBL (LIEFERBAR) (CBL (deliverable))	CBL has exchanged global certificate.(physically deliverable)
43	AKV	004	CBL INT.GLOBALUR. (CBL interim global certificates)	CBL in interim global certificates

WSS/WM	Custody type	Custody type number	Display	Explanation
44	AKV	004	DBC-AUSL,N.LIEFERB.(DBC foreign, not deliverable)	Title accepted in the foreign settlement of Deutsche Boerse Clearing AG (not physically deliverable)
45	AKV	004	CBL PERM.GLOBALUR. (CBL permanent global certificates)	CBL in permanent global certificates (certificates not physically deliverable)
46	AKV	004	DBC-AUSLAND, IGL (DBC foreign IGL)	Foreign settlement of the Deutsche Boerse Clearing AG in interim global certificates
47	AKV	004	DBC-AUSLAND, PGL (DBC foreign PGL)	Foreign settlement of Deutsche Boerse Clearing AG in permanent global certificates
48	AKV	004	DBC-AUSLAND,AUST.GLU (DBC foreign global certificates)	Foreign settlement of Deutsche Boerse Clearing AG, global certificates were exchanged
49	WPR	003	WPR (NICHT LIEFERBAR) (trustee business (not deliverable))	Wertpapierrechnung (Stücke n. effekt. lieferb.) Trustee business (shares not physically deliverable)
50	AKV	004	NEW LOOK GLOBAL NOTE	New look global note (NGN)
88	STR	002	SONSTIGE (miscellaneous)	(Indices, Derivate etc.) (indexes, derivatives etc.)
91	STR	002	HAUS-SAMMELVERWAHR. (internal collective safe custody)	for interim WKN
92	STR	002	STREIFBAND (jacket custody)	for interim WKN
93	WPR	003	WERTPAPIER-RECHNUNG (trustee business)	for interim WKN
96	GS	001	DBC-EING. GS-IGL- (DBC deposit collective safe custody IGL)	for interim WKN
97	GS	001	DBC-EING. GS (DBC deposit collective safe custody)	for interim WKN
98	GS	001	DBC-EING. GS-SVG (DBC deposit collective safe custody SVG)	for interim WKN
99	AKV	004	INTERNE WKN-AUSLAND (internal WKN foreign)	for interim WKN

A.3.3.2 WSS Table: Sonderheiten-Stückeart (characteristics certificate type) (TAB G20)

Value	Display	Explanation
0		No field entry
1	M + B GETRENNT (M + B separated)	Certificate and coupon-sheet separate
2	NUR MANTEL (Certificate only)	Securities without coupon sheet (only certificate)
3	UNIKAT (Single sheet)	Certificate and coupon-sheet = 1 share
4	NUR ERTRAGSSCHEIN (only dividend coupon)	Only dividends or interest coupon
5	NUR BOGEN (Coupon sheet only)	Only coupon sheet
6	NUR TALON (only talon)	Only talon/renewal coupons
7	ZWISCHENSCHEINE (temporary certificates)	Temporary certificates (authorisation coupons, scrips)
8	UNITS	Units
9	SONSTIGES (miscellaneous)	Miscellaneous
11	REG-KUP-O-REG-BUCH (Registered coupon or register)	Registered or coupon (bearer) shares, respectively, or registered or book-entry shares, respectively (positions-related = code) 1,2,3)
12	BEARER/REGISTERED	Bearer/Registered as to Principal
13	BEARER/RECORDED	Bearer or recorded share
15	CF- UND K-STUKKEN (CF AND K CERTIFICATES)	CF and K certificates
16	CF-STUKKEN (CF certificates)	CF certificates (certificate deliverable, coupon-sheet in central custody)
17	REGISTERED/BEARER	Registered/Bearer

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Contact

www.clearstream.com

Published by

Clearstream Banking Frankfurt

Registered address

Clearstream Banking AG, Frankfurt
Mergenthalerallee 61
D - 65760 Eschborn
Germany

Postal address

Clearstream Banking AG, Frankfurt
D - 60485 Frankfurt/Main
Germany

November 2011

Document number: F-CMG22